



INDIA



FY 2001 Results Review and Resource Request (R4)

April 1999

The attached results information is from the FY 2001 Results Review and Resource Request (R4) for India and was assembled and analyzed by USAID/India.

The R4 is a "pre-decisional" USAID document and does not reflect results stemming from formal USAID reviews. Additional information on the attached can be obtained from Peter Thormann, Program Office, USAID/India.

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COVER MEMORANDUM

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From: USAID/India, Linda Morse

Sub: FY 2001 Results Review and Resource Request (R4) - INDIA

The timing of India's nuclear tests (May 11, 1998) led to the cancellation of the formal USAID/W review of USAID/India's R4 for FY 2000. As a consequence, action was not taken on USAID/India's request for the extension of our existing Strategic Plan, 1994-2000. In R4 2001 we again request extension of the existing strategic framework from 2000 to 2005. The program will require another five years to achieve results at the strategic objective level. Also, the composition of the program (97% earmarks and directives) circumscribes the scope for our rethinking the strategic direction of the program.

USAID/India will prepare two Strategic Objective strategy papers within the current strategic framework. The new SO 7 Infectious Diseases Strategy builds on the very successful Tamil Nadu HIV/AIDS activity, and will be submitted by the end of FY-99. An Economic Growth (EG) Strategy, which will explore resumption of a financial markets activity and possible new directions, will be submitted when sanctions are lifted. We request formal USAID review of the two strategy papers, when they are submitted. If the EG Strategy is approved, additional discretionary funds of \$5 million to \$8 million will be requested.

In the past year USAID/India acquired new regional responsibilities for Sri Lanka in addition to the existing Regional Urban Development Office (RUDO) for South Asia and the Regional Contracts Office. The Management and Controller's Offices now have administrative and accounting responsibility for Sri Lanka. Also, some technical staff will assist other USAID operating units in South Asia as part of a decision to share staff where appropriate. While USAID/India is not requesting designation as a regional Hub, we do request recognition of the expanded role we play in the region when staffing and operating expense (OE) levels are determined. We cannot absorb any additional cuts in USDH staff and OE and maintain the services provided to Sri Lanka and elsewhere in the region. We also request that USAID/India's EXO and Controller be designated as regional positions.

Finally, in 1998, USAID/India's indicators were audited for quality. As a consequence, USAID/India formed a Performance Monitoring and Evaluation team that organizes semi-annual reviews of results, assesses the quality of indicators and data, and approves the R4 tables. While our indicators and data collection are still evolving we believe important strides have been made in improving the quality of our indicators and reported data.

Changes to the Performance Monitoring Plan at the SO level follow:

SO 1 Economic Growth: Activities terminated by FY-98 sanctions. New Economic Growth strategy to be submitted when sanctions are lifted with new SO level indicators. As part of the FY Mission Performance Plan (MPP), we prepared an illustrative EG program under the goal of Economic Development. This initial elaboration of possible USAID-funded economic growth activities will serve as the starting point for preparing our economic growth strategy. No USAID/W review of this element of the MPP is required at this time.

SO 4 Environmental Protection: SO level indicator 4.1 wording changed to read “Carbon dioxide equivalents of Green House Gas (GHG) emissions avoided.” Unit of measure is the same as R4 2000. Coverage for 4.1 has been narrowed to delete achievements that do not have significant USAID contribution and targets have been revised downward to reflect this narrower coverage.

SO 7 Infectious Diseases: In the R4 2000 USAID/India proposed upgrading SPO 1, “Reduced Transmission of HIV Infection,” to SO status in recognition of the broadened mandate for coverage of infectious diseases. The new SO 7 was titled, “Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India.” USAID/India was given informal approval following cancellation of the USAID/W review of R4 2000 to proceed with establishing SO 7. In FY-99, USAID/India will seek formal approval of the new SO 7 by submitting an Infectious Disease Strategy by September FY-99 which will include SO level indicators.

SpO 1 HIV Infection: All SpO 1 activities are now included under SO 7. SpO 1 is terminated.

SpO 2 Agribusiness: Activities terminated in FY-98 by sanctions. No plans to restart SpO 2 activities when sanctions are lifted.

GLOSSARY OF ACRONYMS

ADB	Asian Development Bank
AIDS	Acquired Immune Deficiency Syndrome
AIJ	Activities Implemented Jointly
AMC	Ahmedabad Municipal Corporation
ANE	Asia and Near East
ANE/BEO	Asia and Near East/Bureau Environmental Officer
APAC	AIDS Prevention and Control
AWCs	Anganwadi Centers
BIS	Bureau for Indian Standards
BSS	Behavioral Sentinel Surveillance
CARE	Cooperative for Assistance and Relief Everywhere
CBO	Community Based Organizations
CE	Categorical Exclusion
CERC	Central Electricity Regulation Commission
CII	Confederation of Indian Industries
CO ₂	Carbon Dioxide
CP	Congressional Presentation
CPR	Contraceptive Prevalence Rate
CRS	Catholic Relief Services
CSD	Child Survival & Disease
CSW	Commercial Sex Workers
CTI	Clean Technology Initiative
DA	Development Assistance
DFID	Department for International Development
DOT	Directly Observed Therapy
DPEP	District Primary Education Project
DSM	Demand Side Management
ECDCs	Early Childhood Development Centers
ECO	Energy Conservation and Commercialization
EV	Electric Vehicle
EXO	Executive Office
FFW	Food for Work
FICCI	Federation of Indian Chambers of Commerce and Industry
FIRE	Financial Institutions Reform and Expansion
FSN	Foreign Service National
FWWB	Friends of Women's World Banking
FY	Fiscal Year
GCC	Global Climate Change
GEF	Global Environmental Facility
GEP	Greenhouse Gas Pollution Prevention Project
GHG	Greenhouse Gas
GOI	Government of India

HIV	Human Immunodeficiency Virus
HUDCO	Housing and Urban Development Corporation
ICASS	International Cooperative Administrative Support Services
ICDS	Integrated Child Development Services
ICICI	Industrial Credit and Investment Corporation of India
ICRW	International Center for Research on Women
IDI	International Development Intern
IFA	Iron-folic Acid
IFPS	Innovations in Family Planning Services
ILFS	Infrastructure Leasing and Financial Services
INCLEN	India Clinical Epidemiology Network
IR	Intermediate Result
ISO	International Standards Organization
IUD	Intra Uterine Device
LOP	Life-of-Project
MFW	Male Factory Workers
MIS	Management Information System
MMR	Mumps, Measles and Rubella Vaccine
MP	Madhya Pradesh
MPP	Mission Performance Plan
MW	Megawatt
NAC	National Advisory Committee
NFHS	National Family Health Survey
NGOs	Non-Governmental Organizations
NH	Nutrition and Health
NIB	National Institute for Biologicals
NIUA	National Institute of Urban Affairs
NOA	New Obligation Authority
NTPC	National Thermal Power Corporation
OE	Operating Expense
ORS	Oral Rehydration Solution
OYB	Operational Year Budget
PACT/CRH	Program for the Advancement of Commercial Technology/Child and
PATH	Program for Appropriate Technology in Health
PBD	Performance Based Disbursement
PVO	Private Voluntary Organization
QCI	Quality Council of India
R4	Results Review and Resource Request
RH	Reproductive Health
RFP	Request for Proposal
SEWA	Self-Employed Women's Association
SIFPSA	State Innovations in Family Planning Services Agency
SO	Strategic Objective
SpO	Special Objective

STD	Sexually Transmitted Diseases
TA	Technical Assistance
TB	Tuberculosis
TBAs	Trained Birth Attendants
TBD	To Be Determined
UE	Urban and Environmental
UMASS	University of Massachusetts
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UP	Uttar Pradesh
USAID	United States Agency for International Development
USDH	United States Direct Hire
USG	United States Government
VAW	Violence Against Women
WB	World Bank
WHO	World Health Organization

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I. OVERVIEW AND FACTORS AFFECTING PROGRAM PERFORMANCE

A. Impact of Sanctions

On May 11, 1998 India detonated nuclear devices; on May 13th President Clinton imposed sanctions under the "Glenn Amendment." The USAID/W review of the India R4 2000, scheduled for May 23, 1998, was cancelled. For nearly three months following the nuclear tests, the USAID/India program was inactive while Washington reached decisions on the specifics of applying sanctions to India.

Under the "Glenn Amendment," humanitarian assistance is exempt from sanctions. In presenting its case to the Congress and the Interagency Working Group, USAID took a very proactive stance in defining humanitarian assistance. Thus, programs that provide reproductive health services; increase access of urban poor to water and sanitation; combat HIV/AIDS, polio, and other infectious diseases; and advocate women's empowerment and rights were approved for continuation. Also, the P.L. 480 Title II food aid program, which feeds more than 7 million poor women and children each day, was continued. This enabled USAID/India to meet or exceed most planned R4 targets and contribute to Mission Performance Plan (MPP) goals of stabilizing population growth, protecting health, and strengthening human rights.

The highly successful Global Climate Change (GCC) program continued post sanctions under "notwithstanding" language using pre-sanctions funds (pipeline) since FY-98 and FY-99 funds were frozen. The availability of pipeline enabled USAID/India to meet R4 targets and contribute to the MPP goal of reducing greenhouse gas emissions. The recent decision to lift the suspension on FY-98 and FY-99 funds will enable the Mission to start \$45 million of new GCC activities that have been delayed for nearly a year. The termination of USAID/India's Economic Growth program, mainly financial sector reforms and private sector agribusiness development, is still in force. When sanctions are lifted, the Mission will submit an Economic Growth (EG) strategy as the basis for restarting an EG program.

B. Progress in Program Implementation

All but one of the USAID/India programs have been underway for several years. Frameworks and actions necessary to deliver results are in place and well developed for most programs. Key partners have been identified, networks established, models tested, and design of activities nearly completed to carry the programs to 2005.

The reproductive health program aimed at reducing fertility in Northern India, Strategic Objective (SO2), is in its seventh year. Systems are now in place to achieve major impact. All 28 target districts, representing a population of 72 million, are now covered. The most important development in the past year is approval of the long-delayed contraceptive social marketing strategy, thereby overcoming a critical constraint to reaching the SO 2 objective. The main challenges that lie ahead are: (1) intensifying efforts to upgrade quality of services, (2) decentralizing of decision-making to the local level, and (3) ensuring sustainability of program partners.

In the past two years, P.L. 480 Title II food aid has successfully been integrated with nutrition and child survival objectives (SO 3). The SO 3 targets and results, particularly supplemental feeding and iron-folate supplementation, reflect and demonstrate this integration. Plans are underway to extend the integration process by increasing awareness of Vitamin A deficiency and improving delivery of micronutrients to the rural poor. The major challenges to be faced are: (1) replicating results achieved in high impact districts to other districts, (2) leaving behind sustainable local health clinics, and (3) launching the new micronutrients initiative.

The program to reduce transmission and mitigate impact of infectious diseases (SO 7) is a new SO, but incorporates the ongoing activity to reduce the spread of HIV/AIDS infection in the state of Tamil Nadu. Building on the Tamil Nadu model, the expanded program will tackle infectious diseases, especially HIV/AIDS, in Maharashtra and provide national-level assistance to eradicate polio and mitigate spread of other infectious diseases, especially TB. In Tamil Nadu, the results reported for behavior change in use of condoms among high risk groups again exceeded the target--continuing a very positive trend. By the end of FY-99, USAID/India plans to submit an infectious disease strategy for USAID/W approval.

Under the women's empowerment and rights Special Objective (SpO 3), USAID/India has established partners, networks, and successful niche activities using modest resources. An integral part of each component of SpO 3--microfinance for women, prevention of violence against women and girl's education--is leveraging other resources to achieve results. In FY-98, USAID-funded advocacy groups gathered data on incidents of violence against women. The data will provide an empirical foundation to propose actions that will help prevent violence against women and assist women victims of violence. As plans are developed for the expanded microfinance and education components, the challenge is to draw on the wealth of experience and contacts gained during the implementation of the microfinance training and the development of the gender sensitization module for primary education.

Under the Environment objective (SO4), a proposed GCC activity to reform government energy policy and strengthen energy markets was put on hold. Similarly, the amendment to the Greenhouse Gas Pollution Prevention activity to create public awareness of global warming and policy change consistent with the Kyoto protocol was put on hold. Despite these setbacks, significant progress was made in the past year. In particular, the National Thermal Power Corporation, which generates 25 percent of India's electricity, has spread lessons learned on increasing heat rate efficiency to other thermal power plants. As a result, 1.1 million tons of GHG were avoided, while efficiency increased by 2.5%. The main challenge ahead will be to recover the momentum that was lost due to the suspension, as the activities previously on hold commence.

The clean cities component of SO 4 improves health of the urban poor through increased access to clean water, sanitation, and solid waste management systems. The Ahmedabad and Tiruppur models for water supply and sewerage system development are being transferred to other cities. Three more cities have environmental action plans available and another five will have them in the coming year. Key challenges will be to ensure that the models and tools developed are: (1) adopted widely, and (2) applied so that the urban poor will benefit from the resultant environmental infrastructure investments.

USAID/India's financial sector reform (SO 1) and private agribusiness development (SpO 2) activities terminated in FY-98. The reform agenda for capital markets and the banking system continue as high priorities of the GOI. There is widespread recognition that India's financial sector is vulnerable to the same problems that afflicted other Asian countries during the past two years. As the Indian economy opens up and integrates into the global economy, improved financial sector efficiency and transparency will be essential to economic growth and stability. Accordingly, USAID/India will prepare an Economic Growth strategy to explore resumption of a financial sector reform program as well as new program directions for submission to USAID/W contingent on lifting of sanctions.

C. The Future: Strategy Extension to 2005

USAID/India requests an extension of the existing strategy to 2005. The reasons are twofold. First, the USAID/India program is now almost entirely (97 percent) driven by earmarks/directives, and second, the program requires at least another five years to reach results at the Strategic Objective levels.

The composition of program funding (97 percent earmarks and directives) undermines open-ended strategic thinking about intersectoral allocations. Strategic direction for the India program will be more a function of the pressures on ANE to meet each year's mix of earmarks/directives than a seven-year strategic framework built on an assessment of the resource mix that would contribute most to development and MPP objectives.

More importantly, the program is positioned to capitalize on investments made over the past seven years. The SOs, the new SO 7 excepted, all have significant results coming on-line in the next few years. If program performance remains strong and present staffing and the resource mix and levels are maintained, USAID/India will deliver SO results in the next five years. Consistent with the proceeding, the Mission's planned investment (mortgage) for our four SOs and one SpO from FY-2000 to FY-2006 is about \$320 million.

If there is a strategic issue, it is whether USAID/India will be allocated resources to restart the Economic Growth program. As noted, the Mission will prepare an Economic Growth Strategy for submission when sanctions are lifted. An Infectious Disease Strategy (SO 7) will also be submitted toward the end of FY-99.

II. PROGRESS TOWARD OBJECTIVES

A. Strategic Objective 2: Reduced Fertility and Improved Reproductive Health in North India

Summary: With nearly a billion people, India accounts for 16% of the world's population, and adds a further 18 million people a year - one fifth of global population growth. The purpose of this strategic objective is to curb India's high fertility and improve women's reproductive health through intensive efforts in North India, where the majority of India's rapid population growth is occurring. The major beneficiaries of this strategic objective are women of childbearing age (15-49) of Uttar Pradesh, totaling approximately 30 million women. Couples of reproductive age throughout India will benefit from broader commercial availability of family planning and other reproductive health products that expand choice and access. Secondary beneficiaries are children under age five, whose survival will be enhanced by improved health of mothers.

Performance during the year was satisfactory. Activities under this strategic objective (SO) are expected to significantly contribute to reducing fertility and improving reproductive health in North India.

Key Results: Over the last year, two of the three SO intermediate result (IR) targets were exceeded. Targets for raising the contraceptive prevalence rate (CPR) (Indicator 2.2.1) and births attended by trained professionals were exceeded (Indicator 2.3.1). The third indicator, (Indicator 2.1.1) increasing the quality of family planning services through training to improve performance standards was not met due to the difficulties of affecting change in the public sector.

The CPR increased from 20.9% to 24.5% over 3.5 years, exceeding the 1998 target of 23% and representing an overall increase of approximately 17%. This increase was attributed to the following methods: sterilization acceptance increased by 14%, oral pill use by 25% and condom use by 32%. Two additional accomplishments highlighted by the sample survey of over 4,950 households include:

- Use of private sector sources for oral pills increased considerably from 50% of the total (public and private sources) in 1993 to 69% in 1999 with a corresponding increase in the use of private sector sources for condoms from 73% in 1993 to 79% in 1999; and
- Nearly 41% of all current users of Intra Uterine Contraceptive Devices (IUDs) in 1998 obtained them from the private sector.

Performance and Prospects: The last year has seen tremendous growth in program size, focus, and impact. The following five areas represent major accomplishments of program management:

- **Decentralized Planning and Implementation:** Six districts in Uttar Pradesh, with a total population of over 20 million, are participating in a new initiative designed to decentralize program planning, management and implementation to the district level. Through a participatory process at the district level, a comprehensive action plan was developed; a project management team was established with representatives from the government and

private sector; and funds were released directly to the district to support a wide array of public and private sector programs. The forging of grassroots public-private sector partnerships are expanding access, improving quality, and strengthening program efforts to meet couples' reproductive needs. This focus on creating more effective and efficient synergies between the public and private sector, relieves the burden on the public sector and encourages more involvement of the private sector.

- **Community Based Group Participation:** Community-based groups, including cooperatives, non-government organizations and local leadership have been included in efforts to reach out to address couples reproductive health needs. Working through the dairy cooperative network that will cover one-third of the districts of Uttar Pradesh, currently 15 million people have access to reproductive health services. Building on the cooperative mandate that all dairy societies respond to health care needs of their members, lead cooperative workers have been assigned to meet with members to identify critical community health care needs. A community-based health worker is then trained to establish working relationships and linkages with local public sector health workers and facilities to address more complicated health care needs. With careful nurturing, these community-based programs have the potential to grow into an important sustainable service delivery network for community-based reproductive health care interventions.
- **Communications Campaign:** The statewide communications campaign, launched in FY-98, trained over 9,000 health workers. The campaign's second stage, a broad-based media blitz, is being implemented. Forty-one local folk troupes are staging lively community entertainment performances to inform, educate, and raise awareness on key reproductive health issues; 16,000 wall paintings will be strategically placed in thousands of villages around Uttar Pradesh to raise community awareness; and mass media will reach out to millions through nine radio and four television spots scheduled for launch in April 1999.
- **Contraceptive Marketing:** A comprehensive social marketing strategy for Uttar Pradesh was jointly developed and approved by the Government of India (GOI), SIFPSA and USAID, overcoming a serious constraint to achieving the desired results for this SO. Final negotiations are underway to significantly expand marketing activities statewide. Targets include increasing sales of oral contraceptives from 4.2 million in 1997 to 10.4 million cycles by 2004 and of condoms from 104 million to 205 million to consumers in Uttar Pradesh.
- **The second National Family Health Survey** for the 25 states of India and the National Capital Territory of Delhi is currently underway. Due to delays imposed by the sanctions, data will not be available until October 1999. Results will be reported in the next R4 submission. This data will also be disseminated widely so that GOI, donors and others within India and internationally will be able to track health trends over time and develop improvements in national and state policies and programs.

Possible Adjustments to Plans: After one year of implementation, it was determined that targets for quality standards within IR 2.1 were set too high. The Mission recommends that IR 2.1 targets be adjusted downward by 28% over the next 3 years to correspond to actual training plans now in place, program expansion efforts, and field capacity to effect quality improvements. IR 2.3 shows

a large increase in percentage of births attended by trained providers. The increase is the consequence of a decision to include trained birth attendants (TBAs) among the health practitioners covered by the indicator. TBAs were not included in the 1993 baseline, but have been added because TBA training is now an important component of the program. To take account of the preceding change, the Mission recommends IR 2.3 targets be raised by 84% to take account of inclusion of TBAs in the indicator. Having successfully increased access to reproductive health services of family planning and attended births by trained providers, the focus for the next year will be to build on these efforts while improving the quality of service provided by the public sector.

A mid-term assessment was recently carried out of the activity that seeks to engage the private sector in introduction and widespread dissemination of improved health technologies for SO 2, 3 and 7. The assessment team recommended a multi-year extension of the activity beyond the current completion date of July 2000. Mission management will review the team's recommendation to decide appropriate next steps.

As a part of the response to India's nuclear tests, support for operations research was suspended and communications activities were curtailed. If this continues, prospects for long-term program success may be compromised. Particularly, if our communications effort is constrained, it will compromise our ability to raise awareness, educate, and create demand among couples for reproductive health services. Also, without operations research we lose the ability to test new program interventions that will help guide further expansion based on field tested models. In effect, without sufficient support for communications and operation research, the ability to provide services to couples may be limited and SO targets not met.

Other Donor Programs: The World Bank, United Nations Population Fund, United Nations Children's Fund (UNICEF), and the United Kingdom's foreign aid program provide complementary donor support in reproductive health, safe motherhood, and child survival. USAID's program has introduced a number of innovative approaches to supporting both public and private sector efforts, some of which have been incorporated into a major new billion-dollar initiative in reproductive health being launched by the World Bank.

Major Contractors and Grantees: The major grantees are the State Innovations in Family Planning Services Agency and the Industrial Credit and Investment Cooperation of India Limited. USAID also accesses a range of technical assistance from twelve cooperating agencies funded through USAID/Washington's global mechanisms.

Performance Data Table

OBJECTIVE: SO 2 Reduced Fertility and Improved Reproductive Health in North India			
APPROVED: 19/12/1997		COUNTRY/ORGANIZATION: USAID/India	
RESULT NAME: IR 2.1 Increased quality of family planning services			
INDICATOR: 2.1.1 Number of IFPS-trained public sector providers performing to standards as defined by standardized clinical protocols in the 28 PERFORM districts of U.P.			
UNIT OF MEASURE: Annual cumulative numbers in 28 PERFORM districts of U.P.	YEAR	PLANNED	ACTUAL
	1997		69
SOURCE: Regular follow up on training complemented by a special provider survey that will validate a random sampling of those considered as “performing to standard”	1998	725	480
	1999	2683	
INDICATOR/DESCRIPTION: Number of providers trained in providing sterilization and those trained in providing IUD services, performing to standards as per standardized clinical protocols.	2000	5051	
	2001	6003	
	2002	TBD	
COMMENTS: a. Time frame: October 97 – September 98 b. 1997 data revised downward from 80 to 69. c. An annual survey will validate a subset of those considered “performing to standard”. Validation surveys will be fielded from next year. d. Once the current program of training in IUD insertion/removal is assessed in 2000, the data table will be filled in for years 2002 - 2004. e. SO2 activities take place in 29 districts of U.P. Baseline data was available for only 28 of the 29 districts. Thus 28 districts will be considered as the universe for this activity. f. Only providers meeting post-test checklist counted as “trained”. Providers trained who transferred out of the district, will be maintained within the indicator universe. g. The targets for 1999, 2000 & 2001 are being revised to read 2336, 3933 and 4343 due to sanctions and change in program direction, a correction of approximately 28%.	2003	TBD	
	2004	TBD	

Performance Data Table

OBJECTIVE: SO 2 Reduced Fertility and Improved Reproductive Health in North India			
APPROVED: 23/02/1999		COUNTRY/ORGANIZATION: USAID/India	
RESULT NAME: IR 2.2 Increased use of family planning services			
INDICATOR: 2.2.1 Contraceptive Prevalence Rate for the 28 PERFORM districts of U.P			
UNIT OF MEASURE: Percentage for the 28 PERFORM districts of Uttar Pradesh	YEAR	PLANNED	ACTUAL
	1995		20.9
SOURCE: a. 1995 baseline was obtained from the PERFORM survey b. Annual population based survey fielded in January each year	1998	23	24. 5
	1999	25	
INDICATOR/DESCRIPTION: Currently married women aged 15-49 using modern contraceptive methods (i.e. condoms, pills, IUDs, sterilization) in 28 districts of Uttar Pradesh as of January 1999.	2000	27	
	2001	29	
COMMENTS: The majority of activities under SO2 take place in 29 districts of U.P. Baseline data necessary for setting overall targets was available for only 28 of the 29 districts. Thus 28 districts will be considered as the universe for this activity.	2002	31	
	2003	33	
	2004	35	

Performance Data Table

OBJECTIVE: SO 2 Reduced Fertility and Improved Reproductive Health in North India			
APPROVED: 19/12/1997		COUNTRY/ORGANIZATION: USAID/India	
RESULT NAME: IR 2.3 Increased use of reproductive health services			
INDICATOR: 2.3.1 Percentage of deliveries attended by a trained provider, in 28 PERFORM districts of U.P.			
UNIT OF MEASURE: Annual percentage in 28 PERFORM districts of U.P.	YEAR	PLANNED	ACTUAL
	1993		17%
SOURCE: a. 1993 base line was obtained from the U.P. NFHS Survey b. Annual population based survey in January of each year.	1998	18%	33 %
	1999	20%	
INDICATOR/DESCRIPTION: . <ul style="list-style-type: none">Percentage of deliveries attended by trained providers (public and private physicians, nurses – midwives and traditional birth attendants), in 28 PERFORM districts of U.P. Total number of births in 28 districts: 974,000 (1998)	2000	22%	
	2001	24%	
	2002	26%	
COMMENTS: a. The majority of activities under SO2 take place in 29 districts of U.P. Baseline data necessary for setting overall targets was available for only 28 of the 29 districts. Thus 28 districts will be considered as the universe for this activity b. Targets for 1999 – 2004 are being revised to read 34%, 35%, 36 &, 37%, TBD, TBD.	2003	28%	
	2004	30%	

B. Strategic Objective 3: Improved Child Survival and Nutrition in Selected Areas of India

Summary: More than half of India's young children (73 million) are underweight and chronic maternal malnutrition is high. Infant and child mortality rates are very high: one of every nine children die before the age of five. Poor access to health care, high illiteracy rates, and poor nutrition and health practices contribute to high mortality and malnutrition. Because poor women and children, particularly in remote rural and tribal areas, have the greatest mortality risks, the purpose of this strategic objective (SO) is to reduce the high levels of child mortality and malnutrition.

Performance during the year has exceeded expectations. The success of integrating Title II and other resources to improve child survival and nutrition, begun during FY-97, continues into FY-98. Indicators for all Intermediate Results show an upward trend over FY-97.

Key Results: Aggregated CARE and CRS Title II program results (up to last year these were reported separately) indicate that:

- Complete immunization coverage rates for children in program areas improved from 55 percent to 71 percent over the year. In CARE program areas, immunization coverage increased more than two-fold over two years.
- Receipt of Iron Folic Acid (IFA) tablets rose from 23 percent to 43 percent of pregnant women, despite the highly irregular national government supply of IFA tablets. (This was due to procurement problems with the adult doses of IFA tablets, either no IFA tablets were available for distribution or pediatric doses were supplied). In the state of Andhra Pradesh, CARE efforts encouraged the state government to procure IFA for the state.
- Percentage of children under two years (the age group most vulnerable to malnutrition) enrolled for supplementary feeding increased from 61 percent to 67 percent in Title II assisted areas.
- Under the CARE program, rates of timely complementary feeding over two years improved from 46 percent to 60 percent of infants 6-9 months old.

These results indicate that the linking of Title II food distribution programs to critical health services, which are provided through the government health care structure, appears to be working. Private Voluntary Organization (PVO) efforts to train 68,700 functionaries and community members contributed to improved service delivery. These community mobilization activities were important to improved service utilization as well in promoting positive nutrition and health behaviors.

Performance and Prospects: Progress in performance and prospects in four critical aspects of SO 3 are reported below.

Integration of Food assistance with Nutrition and Child Survival Services: Through the CARE and CRS networks, the program reached 7.4 million women and children with 184,503 metric tons of Title II commodities in about 115,300 villages across the country. A significant

achievement during the year has been the integration of nutrition and health services through the institutionalization of organized Nutrition and Health (NH) days being conducted in 15,683 villages of the CARE program in seven states. On a predetermined day, often linked with distribution of Title II commodities, women and children systematically receive nutrition supplements, antenatal care, immunization, and counseling. This CARE effort has led to a significant policy change. The state governments in all the seven states where CARE operates have now issued orders and made it policy to conduct NH days. In the states of Uttar Pradesh and Madhya Pradesh, the government order covers all villages under the program, thus bringing together on a large scale for the first time, services provided by two parallel ministries, Health & Family Welfare and Human Resources (Women & Child Development). The NH days also extend health services to all women and children of the village as opposed to the earlier practice of reaching only those seeking services at government centers, such as the village nutrition center (anganwadi center). A case-study from one CARE block (population of about 100,000) in Madhya Pradesh shows a three-fold increase in measles immunization coverage, a five-fold increase in IFA delivery and more than a five-fold increase in number of Vitamin A doses since inception of NH days one year ago. Further, encouraging the AWCs to serve as depot holders for basic medicines, IFA tablets, contraceptives and ORS ensures availability of these at the village level (the nurse-midwife who distributes these is itinerant and is responsible for 5-6 villages. In the state of Rajasthan, 40 percent of AWCs are now depot holders.

Commercial, Private and Public Partnerships Strengthened: During the last year, CARE emphasized building community ownership and sustainability of the program. CARE partnered with 40 non-governmental organizations (NGOs) and several community based organizations (CBOs). The partnership with the central and state governments was strengthened at all levels. Field placement of CARE staff and their regular participation in district government meetings is fostering closer interaction and improving logistics and service delivery. There has been a shift in approach from training to capacity building of core teams (comprised of government functionaries, NGOs and community members) through joint planning, implementation, supervision, and monitoring. During FY-98, CRS worked with over 60 counterparts and about 2,300 operating partners of which 45 and 589 respectively work in the health sector. CRS began to strengthen service networks for health services and set up a Management Information System (MIS). These efforts will continue in FY-99.

Progress has been made in involving the commercial sector in the promotion of child survival products. Assistance is being provided to a commercial firm for the manufacture and marketing of Oral Rehydration Solution (ORS). To support the marketing, a generic promotion campaign to position ORS as the scientific, doctor-recommended, first-line product for all cases of childhood diarrhea will be launched in the coming diarrhea season. An agreement has been signed with a commercial firm for the production of high quality Measles, Mumps and Rubella (MMR) vaccine.

Grants have been provided to set up an Information Center for Child and Reproductive Health and AIDS prevention, and for the development and marketing of distance education course modules to private doctors through the Indian Medical Association. This includes modules on lactation management and pediatrics.

Awareness of the Need to Improve Access to Micronutrients Created: USAID-supported micronutrient research activities led to the inclusion of several additional nutrition components

into the second National Family Health Survey (NFHS). The study on "indicators for assessing Vitamin A and iron status in the community" conducted in Indian field conditions was crucial in the Government of India's (GOI) decision, despite initial concerns, to use hemocues as the method of choice for hemoglobin estimation in the NFHS. The GOI and other NFHS partners also agreed to include measures of night blindness in pregnant women (indicator of Vitamin A deficiency), iodine levels in salt at the household level, and maternal anthropometry. Another study done in MP has highlighted for the GOI the demand and supply issues in current micronutrient programs. USAID plans to use this and similar work done in Sri Lanka to develop and implement a manual for use in micronutrient programs.

USAID, along with the World Bank, has funded one of the largest randomized trials in the world to test the effect of Deworming and Vitamin A supplementation on child mortality and growth. The ongoing trial covers about 1 million children in 8,000 villages. The trial also provides a sustainable model for improved delivery of micronutrients, including Vitamin A. USAID plans to fund additional research on micronutrient supplementation that will improve government policy on Vitamin A and anemia control.

Disaster Relief: During FY-98, through the CARE and CRS logistic infrastructure, \$2.4 million of food was provided to 846,571 victims of a devastating cyclone in Gujarat, tornadoes in West Bengal and Orissa, and widespread flooding and landslides in the Himalayan watershed area.

Possible Adjustments to Plans: USAID proposes to develop a new activity on improving micronutrient status that would contribute to raising child survival rates and improve nutrition. Key nutrition and medical research institutions have submitted a two-phase (hospital and community) proposal on a micronutrient supplement trial for pregnant women.

Other Donor Programs: Other donors working in the nutrition and health sector include UNICEF, World Bank, Swedish International Development Agency, and World Food Program. In addition, the GOI funds all of the Integrated Child Development Scheme (ICDS) services, program personnel, and infrastructure for the CARE program, and in-country transportation and storage costs for all P.L. 480 Title II commodities.

Major Contractors and Grantees: USAID implements the P.L. 480 Title II India program through U.S. PVOs, CARE and CRS. Through the GOI's ICDS program (India's equivalent of Head Start), CARE taps into a network of over 111,300 village centers. CRS, working through private, registered social service societies, including programs managed by Mother Teresa's and the Dalai Lama's organizations, reaches those women and children who are not served by the GOI's ICDS. Funding for development and dissemination of Child Reproductive Health (CRH) technology is implemented through Industrial Credit and Investment Corporation of India (ICICI), with U.S. technical assistance from Program for Appropriate Technology in Health.

Performance Data Table

OBJECTIVE: SO3 – Improved Child Survival and Nutrition in Selected Areas of India			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: IR 3.1 Increased Use of Key Child Survival Interventions			
INDICATOR: 3.1.1 % of children, 12-23 months old, in program catchment area, fully immunized by age one.			
UNIT OF MEASURE:	YEAR	PLANNED	ACTUAL
Percentage of children 12-23 months old.	1996		28%
SOURCE: CARE & CRS Results Reports, CARE & CRS baseline & evaluation survey reports.	1997		55%
	1998	34%	71%
	1999	37%	
INDICATOR/DESCRIPTION: Percentage of children 12-23 months old in program catchment area who are fully immunized by age one, per GOI's National Immunization Schedule.	2000	40%	
	2001	44%	
COMMENTS: 1. The results pertain to the period October through September. The 1996 baseline is for the CARE program only. The 1997 baseline and 1998 data represent aggregated CARE & CRS program data (weighted for program size as depicted by total beneficiary levels in catchment areas for CARE and CRS programs, see comment # 3). CRS data represents children immunized by age 1 whereas CARE data for FY-97 and FY-98 represents children fully immunized by age two (in the absence of sufficient data for children immunized by age one from the CARE program). 2. Under the CARE program complete immunization rates went up from 61% in 1997 to 71% in 1998; under the CRS program complete immunization rates went up from 26% in 1997 to 67% in 1998. Since this is first-time data from a new MIS, CRS anticipates that it might be inflated. During FY-99, both CARE and CRS will work to strengthen data quality through full implementation of data validation systems. 3. Program catchment area for this indicator is defined as the CARE High Impact and Capacity Building program areas (1.4 m beneficiaries) and CRS Health program (SMCS) areas (0.18m beneficiaries). 4. Targets will be revised after mid-term evaluation in FY 1999.			

Performance Data Table

OBJECTIVE: SO3 – Improved Child Survival and Nutrition in Selected Areas of India			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: INDIA/USAID			
RESULT NAME: IR 3.2 Improved Maternal and Child Nutrition			
INDICATOR: 3.2.1 % of pregnant women, in program catchment area, delivered in the past year, who received 90-100 iron-folic acid tablets.			
UNIT OF MEASURE: Percentage of pregnant women	YEAR	PLANNED	ACTUAL
	1996		13%
SOURCE: CARE & CRS Results Report; CARE & CRS baseline and evaluation survey reports.	1997		23%
	1998	25%	43%
	1999	27%	
INDICATOR/DESCRIPTION: Percentage of pregnant women in program catchment area who received 90-100 IFA tablets.	2000	30%	
	2001	35%	
COMMENTS: <ol style="list-style-type: none"> The results pertain to the period October through September. The 1996 baseline is for the CARE program only and represents % of pregnant women, delivered in the past two years, who received 90-100 IFA tablets. The 1997 (baseline) and 1998 data represent aggregated CARE and CRS program data (weighted for program size as depicted by total beneficiary levels in catchment areas for CARE and CRS programs, see comment # 3 below). Under the CARE program IFA coverage rates went up from 23% in 1997 to 39% in 1998; under the CRS program IFA coverage rates went up from 25% in 1997 to 70% in 1998. Since this is first-time data from a new MIS, CRS anticipates that it might be inflated. During FY-99 both CARE and CRS will work to strengthen data quality through full implementation of data validation systems. Program catchment area for this indicator is defined as the CARE High Impact and Capacity Building program areas (1.4 m beneficiaries) and CRS Health program (SMCS) areas (0.18m beneficiaries). Targets will be revised after mid-term evaluation in 1999. Receipt of IFA tablets is a proxy indicator for improved hemoglobin status during pregnancy and also a proxy for ante-natal care. (IFA is distributed by the Health Department). 			

Performance Data Table

OBJECTIVE: SO3 – Improved Child Survival and Nutrition in Selected Areas of India			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: IR 3.2 Improved Maternal and Child Nutrition			
INDICATOR: 3.2.2 % infants, in program catchment area, who received breast-milk and solid-mushy foods at 6-9 months of age.			
UNIT OF MEASURE: Percentage of infants. SOURCE: CARE & CRS Results Reports; CARE & CRS baseline and evaluation survey reports. INDICATOR/DESCRIPTION: % of infants in program catchment area who received breast-milk and solid-mushy foods at 6-9 months. COMMENTS: 1. The results pertain to the period October through September. The 1996 baseline and 1998 results are for the CARE program only. The 1997 (baseline) data represents aggregated CARE and CRS program data (weighted for program size as depicted by total beneficiary levels in catchment areas for CARE and CRS programs, see comment # 3). In the CARE program, timely complementary feeding rates went up from 46% in 1996 to 60% in 1998. The agreed upon schedule for this indicator for CRS is at baseline (1997), mid-term (1999) and final evaluations (2001), thus not available this year. During FY-99, CARE will work to strengthen data quality through full implementation of data validation systems. 2. Program catchment area for this indicator is defined as the CARE High Impact program areas (0.2 m beneficiaries) and CRS Health program (SMCS) areas for 1997 (0.18m beneficiaries). 3. Targets will be revised after mid-term evaluation in 1999.	YEAR	PLANNED	ACTUAL
	1996		46%
	1997		48%
	1998	50%	60%
	1999	58%	
	2000	62%	
	2001	65%	

Performance Data Table

OBJECTIVE: SO3 – Improved Child Survival and Nutrition in Selected Areas of India			
APPROVED: 09/07/1997		COUNTRY/ORGANIZATION: USAID/India	
RESULT NAME: IR 3.3 Improved Targeting of At-risk Populations			
INDICATOR: 3.3.1 % children under 2 (children 6-23 months old) and nursing mothers of children 0-6 months old, in program catchment area, enrolled in the supplemental food program.			
UNIT OF MEASURE: Percentage of children 6-23 months and nursing mothers of children 0-6 months old.	YEAR	PLANNED	ACTUAL
	1996		40%
SOURCE: CARE & CRS Results Reports; CARE & CRS baseline and evaluation survey reports.	1997		61%
	1998	48%	67%
INDICATOR/DESCRIPTION: Percentage of children under two years (children 6–23 months old) and nursing mothers of children 0-6 months old in program catchment area enrolled in the supplemental food program.	1999	53%	
	2000	57%	
	2001	61%	
COMMENTS: 1. The results pertain to the period October through September. The 1996 baseline is for CARE program only and represents children 6-23 mths enrolled in the supplemental feeding program. The 1997 and 1998 data represent aggregated CARE and CRS program data (weighted for program size, by total beneficiary levels in catchment areas, see comment # 3). 2. Under the CARE program areas, enrollment rates for these groups went up from 61% in 1997 to 67% in 1998; under the CRS program areas enrollment of these groups went up from 68% in 1997 to 77% in 1998. Since this is first-time data from a new MIS, CRS anticipates that it might be inflated. During FY-99, both CARE and CRS will work to strengthen and validate data quality. 3. “Enrolled” children are 6-23 mths old and nursing mothers of 0-6 mths old children whose names are entered in program records of CARE and CRS. 4. Program catchment area for this indicator is defined as all program areas under the CARE program (6.6m beneficiaries) and CRS Health program (SMCS) areas (0.18m beneficiaries). 5. Supplemental food is an entry point for child survival and health services. The indicator does not measure ration sizes or frequency of food receipt or consumption. 6. Targets will be revised after midterm evaluation in 1999.			

C. **Strategic Objective 4: Increased Environmental Protection in Energy, Industry, & Cities**

Summary: India is the sixth largest and second fastest growing producer of greenhouse gas (GHG) in the world. Electric power generation is the major source of GHG emissions in India, accounting for 48% (or 71 million tons) of India's carbon emissions from fossil fuels. With growth in India's population, the demand for electric power also increases. Population growth coupled with lack of gainful employment in rural areas have resulted in rapid growth in India's urban population, placing tremendous strain on urban environmental infrastructure, including water supply, sanitation, and sewerage systems. Close to 40% of the urban population live in slums and squatter settlements without any significant access to these basic services, causing severe health problems to the most vulnerable groups. This SO aims to reduce GHG emissions by increasing efficiency and reducing pollution in the electric power and industrial sectors, and improving delivery of basic services through improved urban environmental planning and infrastructure.

Performance during FY-98 exceeded expectations in spite of the sanctions-related suspension of new program funds. Indicators for two IRs surpassed expected results; the indicator for the third IR is close to achieving its planned target. Based on these results, the SO is expected to contribute to a reduction in GHG emissions and improvement in delivery of basic services.

Key Results: In the **energy sector**, 1.09 million tons of CO₂ avoided were achieved against a target of 0.63 million tons, mainly from efficiency gains at the National Thermal Power Corporation's (NTPC) coal-fired power plants. USAID assistance in the development of a cadre of skilled professionals at NTPC's Center for Power Efficiency and Environmental Protection contributed significantly to the result. Consequently, State Electricity Boards (Gujarat and Maharashtra) have requested USAID assistance to establish similar centers of excellence in power plant efficiency. Electricity Regulatory Commissions were also created at the federal and state levels through legislation. USAID provided important technical assistance (TA) to help draft the legislations as well as establish the Commissions. In the **environment management sector**, the Federation of Indian Chambers of Commerce and Industry (FICCI) established an internet-based clearinghouse for Indo-U.S. collaboration on clean technology, GHG reduction and certified environmental management systems. Also, during this period, nine firms in three industrial sectors initiated procedures for ISO 14000 certification. In the **urban sector**, South Asia's first water and sanitation project designed on a Build-Own-Operate-Transfer basis, in Tiruppur, Tamil Nadu has reached contract negotiation stage using international competitive bidding standards. A public-private corporate entity manages this project, an innovation for the sector. USAID assistance made available to three cities environmental status reports. Such tools provide municipal managers the opportunity to refine environmental management priorities, mitigate environmental risks, and develop sustainable sewerage and potable water systems.

Performance and Prospects: USAID significantly contributed to **increased energy efficiency and decreased GHG pollution in energy supply and use**. Independent regulation is essential for overall power sector efficiency. USAID TA helped draft key legislation for the Indian power sector including the Electricity Regulatory Commission Act, Energy Conservation Act, and Private Participation in Transmission Act. The Electricity Regulatory Commission Act created

the Central Electricity Regulatory Commission (CERC). Six state commissions are now being formed. USAID TA helped to establish the CERC as well as the Haryana and Punjab State Electricity Regulatory Commissions. The partnership program between Indian and U.S. utilities and regulatory agencies also yielded significant results including improved generation efficiency and flyash utilization, reduction of distribution losses and upgrading of maintenance management information systems. The partnerships have now begun to spin-off sales of goods and services by the U.S. utilities. In the past year, hundreds of key power-sector partners were trained in regulatory reform and restructuring contributing to the trend toward private power generation, which now totals 22,000 MW. In Haryana, USAID TA and training plays an important complementary role to the much larger World Bank (WB \$600 million loan) and British Department for International Development (DFID \$24 million grant) programs. Demand Side Management (DSM) projects, designed with USAID support, will now be funded from the \$45 million DSM component of the World Bank loan.

In renewable energy, USAID assistance resulted in the installation of nearly 200 MW of capacity fuelled by bagasse, including India's only sugar cogeneration facility to provide electric power with zero net GHG emissions by operating year-round on only biomass fuels. USAID assistance also resulted in commercial sales of domestic lighting for 2,500 rural households using solar photovoltaic technology. The USAID- G/ENV/EET Electric Vehicles (EV) program fostered an agreement to produce prototype scooters and three-wheel autorickshaw EVs by U.S. and Indian firms to reduce air pollution. USAID support for development of India's first electric car culminated in a joint venture to produce vehicles commercially within one year.

USAID is promoting certified environmental management systems and helping Indian firms incorporate best practices into their operations to **reduce pollution per unit of output in key industrial sectors**. Systems such as ISO 14000 result in both process and energy efficiency. Prior to sanctions-related suspension, USAID introduced ISO 14000 standards and practices to nine industrial units in the textile, paper and automobile sectors. The suspension led USAID to reorient the environmental portfolio to focus more on reducing GHG in energy intensive industries such as steel, thermal power, and cement. Agreements have been reached to assist the Steel Authority of India (the largest steel maker in Asia) and NTPC (which provides 25% of India's electric power) to achieve ISO 14000 certification. USAID is supporting the creation of four regional "synergy" centers to strengthen India's environmental/industrial extension system by providing low-cost access to FICCI's internet-based services. FICCI will also promote awareness and outreach on GCC issues in concert with USAID and local partners.

USAID's achievements in **improved urban environmental infrastructure** are well recognized. Forty percent of the construction of water supply and sewerage work, financed by the Ahmedabad Municipal Corporation (AMC) municipal bond issue is underway. Basic water supply and sanitation services will be available to 14,000 people in 12 slums by June 1999. USAID's \$25 million Urban and Environmental Credit loan guaranty for the \$100 million investment program, financed by the bond issue, was an important "confidence builder" for AMC. In Tiruppur, Tamil Nadu, India's first public-private partnership project in water supply and sanitation is nearing financial closure. An international consortium was selected in December 1997 to build and operate the \$250 million system. Pune, in Maharashtra state, issued an RFP for a \$185 million water supply and sewerage project, which includes private operation and

maintenance of new treatment plants and expansion of services to poor neighborhoods. Kohlapur, Maharashtra floated an RFP for a privatized solid waste management system for poor areas of the city. In FY-99, USAID will emphasize state government policy reforms and infrastructure funds to support wider replication of the basic water and sanitation models being demonstrated in selected cities. A USAID grant will also enable the Self-Employed Women's Association (SEWA), a successful micro-finance institution in Ahmedabad, to explore community-based partnerships for urban environmental infrastructure improvements.

Possible Adjustments to Plans: Sanctions-related policy had a significant impact on the USAID/India Environment program (SO4). Two new sets of GHG program activities, scheduled to be launched in FY-98 were put on hold. Also, resources were re-focused to reduce GHG emissions in energy intensive industrial sectors and to improve access by the urban poor to basic environmental infrastructure services. With the lifting of the suspension on new funding, the SO team is ready to move ahead with: a new \$25 million Energy Conservation and Commercialization activity; and a \$20 million expansion of the Greenhouse Gas Pollution Prevention activity. Due to the post-sanctions program realignment which focuses on the urban poor, the Mission will revise the SO Indicator 4.3 targets and report on performance using new targets next year. The availability of loan funds from the Urban and Environmental (UE) Guaranty Program has been instrumental in encouraging local governments to innovate. If UE guaranty authority is limited or unavailable in FY-00 and FY-01, USAID's ability to enlist more innovative demonstration projects will be seriously constrained.

Other Donor Programs: USAID works closely with the WB, DFID and the Asian Development Bank (ADB) on power sector reform and restructuring, DSM and urban environmental management. Negotiations for a \$105 million WB loan augmenting the resources of the Tamil Nadu Urban Development Fund are in the final stages. USAID will coordinate its TA in Tamil Nadu with the WB to strengthen local government's management of basic water and sanitation services and their ability to extend services to poor neighborhoods. USAID has also worked closely with the WB and the ADB in the design of new urban environmental infrastructure programs in Karnataka and Gujarat.

Principal Contractors, Grantees or Agencies: International Resources Group, Federal Energy Technology Center - U.S. Department of Energy, Winrock International, Institute of International Education, Alliance to Save Energy, United States Energy Association, Hagler Bailly Services, Inc. and Community Consultants Inc. Indian partners include: Ministry of Power, Central and State Electricity Regulatory Commissions, State and private sector power utilities, Ministry of Environment and Forests, Power Finance Corporation, Industrial Development Bank of India, ICICI Ltd., NTPC, Confederation of Indian Industry (CII), FICCI, National Institute of Urban Affairs, Housing and Urban Development Corporation, and Infrastructure Leasing and Financial Services.

Performance Data Table

OBJECTIVE: SO4 Increased Environmental Protection in Energy, Industry and Cities			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: SO4 Increased Environmental Protection in Energy, Industry and Cities			
INDICATOR: 4.1 Carbon dioxide equivalents of greenhouse gas (GHG) emissions avoided			
UNIT OF MEASURE:	YEAR	PLANNED	ACTUAL
In Million Tons (cumulative)	1997		0.02
SOURCE: Center for Monitoring Indian Economy (CMIE) report, Project Reports, NTPC reports.	1998	0.63	1.09
	1999	1.93	
	2000	5.29	
	2001	8.52	
	2002	11.89	
INDICATOR/DESCRIPTION: Emissions of carbon dioxide equivalents avoided are calculated by converting MW hour of coal-fired energy saved or avoided through SO4 activities (such as biomass cogeneration , enhanced energy efficiencies – in both supply side and demand side activities – and clean coal technologies). Data includes information on projects which receive USAID support directly.			
COMMENTS: Data reported for GOI fiscal year: April 1 to March 31. Other greenhouse gas emissions such as methane or nitrous oxides will be converted to carbon dioxide equivalents. Targets have been revised following Environment Team review and decision to delete achievements accruing from activities that do not have major or direct USAID funding.			

Performance Data Table

OBJECTIVE: SO4 Increased Environmental Protection in Energy, Industry and Cities			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: SO4 Increased Environmental Protection in Energy, Industry and Cities			
INDICATOR: 4.2 Increased number of firms that meet international environmental quality standards in selected industrial sectors.			
UNIT OF MEASURE:	YEAR	PLANNED	ACTUAL
Number of firms (cumulative)	1997		
SOURCE: Reports of Industry Associations, Bureau of Indian Standards (BIS), Quality Council of India (QCI)	1998	0	
	1999	10	*
	2000	15	
	2001	20	
	2002	25	
INDICATOR/DESCRIPTION: International environmental quality standard is defined as ISO 14000 certification. Number of firms who, with assistance from the Clean Technology Initiative (CTI), obtained ISO 14000 certification in the following sectors: textiles, pulp & paper, pharmaceutical, automobiles, thermal power, steel and cement. Results shown are cumulative.			
COMMENTS: Data reported for GOI fiscal year: April 1 to March 31. * Presently nine firms are in the process of achieving ISO 14000 certification.			

Performance Data Table

OBJECTIVE: SO4 Increased Environmental Protection in Energy, Industry and Cities			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: IR 4.3 Improved urban environmental infrastructure built and services delivered in selected cities			
INDICATOR: 4.3.1Local Government/Authorities with urban environmental management tools available to them			
UNIT OF MEASURE: Number of local governments/ authorities which have one or more of the urban environmental management tools. (cumulative)	YEAR	PLANNED	ACTUAL
	1995		1
	1996	2	2
	1997	4	4
	1998	6	7
	1999	8	
	2000	10	
	2003	16	
SOURCE: Surveys, annual evaluation, sector assessment by municipalities, project working reports, study reports, HUDCO, ILFS, NIUA, NGOs & USAID			
INDICATOR/DESCRIPTION: 1) Urban environmental management tools are: Environmental status reports/maps/workbooks, comparative environmental risk assessments, environmental management action plans, city corporate plans, and city infrastructure priorities studies. 2) “Authorities” include state and city level water supply and sewerage boards. 3) These urban environmental management tools have been developed with active collaboration of the concerned local government/authorities.			
COMMENTS: Data reported is up to Sept. '98.			

D. Strategic Objective 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India

Summary: India has an overall prevalence of about 0.8 percent of HIV/AIDS in its adult population, while five states have prevalence rates greater than 1.5 percent. With an estimated 4.5 million total cases, India currently has the highest number of people with HIV in the world. Therefore, we have expanded our activities from a Special Objective to a Strategic Objective (SO). Because infectious diseases contribute significantly to the morbidity/mortality of HIV patients, the new SO encompasses ongoing and planned HIV/AIDS activities, as well as initiatives related to other infectious diseases. These include tuberculosis treatment, antimicrobial resistance, eradication of polio and other vaccine preventable diseases, and surveillance. Specific strategies for this SO will be submitted to USAID/W by the end of FY-99. As activities begin, new indicators will be developed and key indicators will be negotiated with partners.

The performance during 1998 in addressing HIV transmission in Tamil Nadu has exceeded targets.

Key Results: The ongoing AIDS Prevention and Control (APAC) intervention in Tamil Nadu has already exceeded 2002 projected targets. The Behavior Sentinel Surveillance (BSS) study, conducted between 1996 and 1998, indicates that, among high risk groups, there were significant declines in the numbers of non-regular sex partnerships reported, increased condom use, and increased proportions of high risk individuals with symptoms of Sexually Transmitted Diseases (STDs) seeking care from qualified medical practitioners. The Government of India (GOI) and other bilateral donors now are looking to the APAC model as they develop new HIV/AIDS prevention programs in other states of India. India established a surveillance system for polio, using a definition that meets international standards, and immunized 136 million children under five years of age. As a result, eradication of polio in India is becoming attainable. USAID also funded India's clinical epidemiology network in India (INCLIN), which has successfully carried out several research projects that are having widespread impact on care and prevention of infectious diseases in the country.

Performance and Prospects: Promoting condom use is one of APAC's key strategies. The BSS study showed significant increase in reported condom use in men (Indicator 7.1.1). Among truckers, condom use with non-regular partners increased from 51% in 1997 to 66% in 1998 and from 66 % in 1997 to 75% in 1998 with Commercial Sex Workers (CSWs). Among male factory workers (MFW), condom use with non-regular sex partners increased from 25% in 1997 to 50% in 1998 and from 41% in 1997 to 67% in 1998 with CSWs. These data were consistent with data from CSWs who reported increased condom use with clients (from 74% in 1997 to 80 % in 1998). The BSS survey also found a decrease in reported male patronage of CSWs among truckers from 27% in 1997 to 25% in 1998, though not in factory workers (from 4% in 1997 to 5% in 1998).

To generate demand for condoms, partnerships have been established with a) manufacturers to increase the sale and number of condom selling outlets, b) non-governmental organizations (NGO) to actively promote condom use among the target group and provide training in social

marketing of condoms, and c) retailers for training in active condom promotion. Building on results achieved in 1996-97, APAC has expanded its collaboration with the private sector, since investments in expanded condom distribution systems could lead to both increased sales volumes and to a reduction in the direct cost of sales.

The BSS survey also showed an increase in the proportion of high-risk individuals seeking treatment for symptomatic STDs from qualified medical practitioners. The proportion of CSWs seeking qualified care increased from 91% in 1997 to 96% in 1998, and among truck drivers from 73% in 1997 to 83% in 1998. No improvement, however, was seen in MFW, who represent a lower risk group, and did not benefit from any APAC intervention; the proportion seeking qualified care decreased from 80% in 1997 to 52% in 1998.

APAC also aims to strengthen the capacity of NGOs to carry out intervention programs. To date, 98 grants have been awarded against a planned cumulative of 45 grants. Interventions focus on truckers at strategic locations on interstate highways, slum dwellers, STD clinic attendees, and CSWs in cities, temples, and tourist towns. APAC also provides training to improve quality STD care. Using modules developed by APAC, 840 physicians and 1274 other health care providers were trained in STD care.

In 1998, INCLEN and APAC completed a community level, STD prevalence study in Tamil Nadu (the first such population-based study in India). The widely-disseminated results are being used by state, national, and international programs, including UNAIDS and the WHO. Recognizing the significance of this study, the GOI has requested USAID to replicate the study in other parts of India.

Strengthening the private sector continues to be an important strategy that USAID uses for HIV/AIDS prevention. In 1998, USAID's Child and Reproductive Health (CRH) activities facilitated concessionary loans to three commercial manufacturers to develop/transfer technology and market low-cost diagnostics. Quality control monitoring activities are also being carried out to assure the quality of condoms in India.

The polio prevention program made substantial progress towards eradication of disease. An effective surveillance system that meets WHO standards has been established in every state. National immunization days have been carried out on a regular basis and, based on input from the INCLEN evaluation, are being supplemented by mop-up days to insure greater than 95% total coverage in children less than 5 years of age.

Planned Activities: Expansion of HIV prevention and care activities to Maharashtra is expected to begin in April 1999. USAID's activities (the AVERT initiative,) will be jointly funded with World Bank and will focus on four geographical areas, including Mumbai. Preparatory studies for Maharashtra, including mapping of the intervention areas, BSS and STD prevalence surveys, and condom quality studies, will begin in 1999. The USAID and World Bank proposals for HIV prevention are currently under joint review by the GOI.

Three new infectious disease activities will begin in 1999. A model center of excellence in tuberculosis control, training, and research will be established in Tiruvellore, Tamil Nadu through

funds channelled to WHO. A key element of the program will be to evaluate the impact of Directly Observed Therapy. The project has received GOI approval and has been inaugurated in late March at the TB Research Centre, Chennai. Funding also has been provided to WHO to strengthen the national surveillance program, through advocacy, capacity building, training, and improved capacity for outbreak response. A complete proposal is expected by June 1999. Research proposals related to surveillance and antimicrobial resistance are being developed by India Clinical Epidemiology Network (INCLEN) investigators and will be initiated in 1999.

Terminated Activity: As a consequence of GOI failure to implement construction of a laboratory for vaccine quality control designed to international standards, Japan cancelled its funding for construction of the physical facilities for the National Institute for Biologicals (NIB) and USAID terminated its activity for technical assistance training and equipment for the NIB facility. Due to the importance of vaccine quality control, USAID/India did notify the GOI that we would be prepared to provide limited technical assistance and training if a decision was taken to start construction of the NIB facility as originally designed.

Possible Adjustments to Plan: Because the SPO has been expanded to an SO, results of new activities will be reported in the R4 submission for FY-02. In addition, a mid-term evaluation of APAC, originally planned for 1998, has been rescheduled to April-May 1999. It is expected that some new activities will be initiated as a result of the evaluation. After discussion with partners and USAID/Washington, additional IR level indicators will be added for AVERT, polio, and infectious diseases in the R4 submission of FY-02.

Other Donor Programs: The GOI and other donor agencies are increasingly using lessons learned by APAC as a basis for developing HIV prevention programs in other states in India. Several donor activities are being collaboratively developed by the GOI with USAID and other donor participation. Along with AVERT, the GOI is negotiating proposals with the World Bank and British Department for International Development for a mid-1999 start.

Major Contractors and Grantees: Voluntary Health Services (an Indian PVO) and Industrial Credit and Investment Corporation of India have been the central organizations implementing the Tamil Nadu and CRH activities. APAC also works in collaboration with the Family Health International, Implementing AIDS Prevention and Control Activities (IMPACT), INCLEN, Program for Appropriate Technologies for Health, Hindustan Thompson Association Limited, National Institute of Sales, J.K. Ansell Limited, and other medical and research institutions. Polio eradication activities have included a collaboration between the GOI and USAID, UNICEF, WHO as well as Rotary International. Also likely to be involved in the new SO is the Indian Council of Medical Research.

Performance Data Table

OBJECTIVE: SO 7 Reduced Transmission and Mitigated Impact of Infectious Diseases Especially STD/HIV/AIDS in India.			
APPROVED: 09/07/1997		COUNTRY/ORGANIZATION: USAID/India	
RESULT NAME: IR 7.1 Reduced transmission of HIV/AIDS and related infectious diseases in Tamil Nadu			
INDICATOR: 7.1.1. Percentage of individuals belonging to specified high-risk groups who report condom use in most recent sexual encounters with a non-regular partner.			
UNIT OF MEASURE: Percentage	YEAR	PLANNED	ACTUAL
	1996		37
SOURCE: Behavioral Sentinel Surveillance (BSS) Study	1997	42	47
	1998	47	53
INDICATOR/DESCRIPTION: Figures are simple arithmetic averages for commercial sex workers, STD clinic attenders, truck drivers and helpers. Groups such as male and female factory workers, and male and female students are not included since BSS data indicates they are not “high risk groups”.	1999	52	
	2001	57	
	2002	62	

Performance Data Table

OBJECTIVE: SO 7 Reduced Transmission and Mitigated Impact of Infectious Diseases Especially STD/HIV/AIDS in India.			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: IR 7.1. Reduced transmission of HIV/AIDS and related infectious diseases in Tamil Nadu.			
INDICATOR: 7.1.2 Percentage of population with symptomatic Sexually Transmitted Diseases (STD) seeking care from qualified medical practitioners in Tamil Nadu.			
UNIT OF MEASURE: Percentage	YEAR	PLANNED	ACTUAL
	1996		52
SOURCE: Behavioral Sentinel Surveillance (BSS) Study	1997	57	67
	1998	62	77*
INDICATOR/DESCRIPTION: Figures are simple arithmetic averages for commercial sex workers, male factory workers, truck drivers and helpers (Male students not included in 1998 BSS). Qualified medical practitioners are allopathic doctors.	1999	67	
	2000	72	
COMMENTS: Data reported for 12 month periods ending November each year. * Excluding male students the actual figures for BSS 1996 and 1997 are 62 and 81 respectively.	2001	75	
	2002	77	

Performance Data Table

OBJECTIVE: SO 7 Reduced Transmission and Mitigated Impact of Infectious Diseases Especially STD/HIV/AIDS in India.			
APPROVED: 09/07/1997		COUNTRY/ORGANIZATION: USAID/India	
RESULT NAME: IR 7.1Reduced transmission of HIV/AIDS and related infectious diseases in Tamil Nadu.			
INDICATOR: 7.1.3. Cumulative number of APAC grants for AIDS prevention in Tamil Nadu.			
UNIT OF MEASURE: Number (Cumulative)	YEAR	PLANNED	ACTUAL
	1995		0
SOURCE: Voluntary Health Services (VHS) reports	1996	15	18
	1997	30	71
INDICATOR/DESCRIPTION:	1998	45	98
	1999	60	
	2000	75	
COMMENTS: Data reported for US fiscal year: October 1 to September 30. Target has already been met. However, an additional 10 grants each year will be provided to conduct Pilot/model program activities.	2002	100	

E. Special Objective 3: Expanded Advocacy and Service Delivery Networks for Women

Summary: Designed to fill niches/gaps not addressed by other donors, activities under this special objective (SpO) seek to expand women's role and participation in decision-making through increased economic independence, increased female education levels, and reduced subordination of women through violence. Activities in micro-finance, girls' education, and prevention of domestic violence, will strengthen a constituency on women's issues. The program is based on extensive consultations with women's groups, grassroots organizations, research institutions, government, media groups, and other donors. This special objective benefits school-going girls in Uttar Pradesh (UP), low-income rural women needing access to financial services and women who are, or potentially may become, victims of violence.

Progress in 1998 exceeded expectations. Specified targets were met and some ongoing activities expanded.

Key Results: Innovation, leverage and networking are key to the achievements of this SpO. As a result of USAID's Violence Against Women activity, the National Advisory Committee was formed. Its members have taken a lead role in promoting awareness and understanding of women's issues among different constituencies, thereby providing the domestic violence work greater visibility than would have been possible for a sensitive research activity. This initiative has been able to draw on the research expertise of some of the best Indian centers of women's studies.

To ensure that the USAID-developed teacher-training module on gender sensitization is widely adopted in Uttar Pradesh, USAID linked into the World Bank-supported District Primary Education Project (DPEP). Pursuant to discussions with DPEP officials regarding use of our materials in their training sequence, one group of teachers from a DPEP block was trained.

In the area of micro-finance, training in business planning fulfills a large demand. However, the larger structural problems related to banking policies and linking informal micro-finance providers to the formal commercial banks still need to be addressed.

Performance and Prospects: To increase access to sustainable financial services, Friends of Women's World Banking (FWWB) trained 32 NGOs in strategic business planning, against the target number of 30. The first group of NGOs, who serve a total of 26,651 low-income women, were able to achieve a 58% increase in coverage following training in strategic business planning. FWWB expects a similar increase in the remaining year of the activity. NGOs report that the activity meets a large demand for training services. The activity's regional focus enabled participants who had similar customer focus and markets to network and share experiences. In addition to the NGO training, a step-by-step "how to" guide to Strategic Business Planning is being developed and translated into 2 regional languages for wider dissemination.

To increase girls' participation in school, USAID-partner, Catholic Relief Services (CRS) reaches disadvantaged girls through a food for education program implemented by a network of

grassroots organizations working in under-served areas. To improve targeting at early and basic primary education levels, CRS phased out institutions serving exclusively post-primary levels. CRS focussed on building partner capacity in participatory learning methods and techniques and training teachers using a core group of 156 master-trainers to extend learning to other Early Childhood Development Centers (ECDCs).

In 1998, the University of Massachusetts (UMASS) completed the draft teacher-training module and a gender handbook to change instructional practice to increase girls' participation in primary school. These were pilot-tested in Maharajgang and Ambavan blocks, (the latter being UNICEF's Joyful Learning program site). The module and handbook will be introduced to the remaining 19 blocks of Rae Bareilly district, which has a population of 2.3 million people. A cadre of master trainers has been developed who form the core of the training team. They will train other trainers as the activity begins implementation on a larger scale.

Under the Violence Against Women activity to **increase the number of institutions collecting data for informed advocacy on violence against women**, 12 new medical colleges and local NGOs were added to the research network in 1998. In addition to the 9 institutional research partners from last year, the International Centre for Research on Women (ICRW) was able to add seven new cities to the survey through a sub-contract with the International Clinical Epidemiologist Network (INCLEN). Twenty institutions now participate in the activity.

Reports have been completed on effective responses to domestic violence in the states of Maharashtra, Madhya Pradesh, Gujarat, and Karnataka. A prevalence study on violence against women from the Kheda District of Gujarat is also complete. The institutional study of records from police stations, hospitals, and high courts will be presented at a dissemination conference scheduled for November 1999. ICRW will present a synthesis report on responses and prevalence of violence in India at a dissemination conference in April 1999. While studies of institutional records will give insights into trends, patterns, and responses to domestic violence, there is a need for more rigorous empirical data to establish prevalence, identify risk and protective factors, and determine the health and economic outcomes. To meet this need, INCLEN is undertaking a large, multi-site, population-based, urban/rural survey in seven different geographical sites of India. This should be completed by December 1999. The emphasis in 1999 will be on placing all research studies (and the INCLEN survey) in the larger context of generating awareness around the issue of domestic violence, sensitizing the stakeholders to the nature of the problem, and advocating programs and policies to address the problem. The dissemination conferences will be aimed at researchers, medical practitioners, policy makers, bureaucrats, police, judiciary and human rights groups.

Possible Adjustment to Plans: The micro-finance activity ends in September 1999. Lessons learned will guide development of a new micro-finance activity to explore ways to strengthen the links of the informal micro-finance institutions to the formal banking system.

To expand on the girls' education initiative, USAID is providing technical assistance to strengthen performance monitoring, linking with on-going programs through a reinvigorated Steering Committee of government and private partners and looking at future possibilities to improve coordination of girls' education activities throughout India.

Other directions in the area of violence against women are being considered. A research-cum-intervention design may be developed in 2-3 states (Rajasthan, Bihar, and West Bengal) that would address the issue of community norms, with a special focus on men's attitudes and responses. Since hospitals are a critical entry point for sexually-abused women, solid information systems need to be established that can inform and lead to policy changes in the health system. A package of services aimed at training and sensitizing doctors and other hospital staff at several sites needs to be formulated.

USAID/India is working closely with G/WID to improve the definition and validation of an indicator which would measure fifth grade completion rates for girls. The performance monitoring system for this new indicator should be in place next year. In view of the difficulties with using enrollment as an indicator (details in the last R4 report), we are reporting only on the training module indicator this year.

Other Donor Programs: The UN, World Bank, Swiss, Dutch and Canadian Governments all support credit and enterprise programs for women. Most of these programs focus either on the formal banking system or on women's self-help group formation and development of home-based enterprises. USAID focuses on upgrading the technical and managerial capabilities of non-traditional financial institutions, which, by operating on a sound, sustainable basis, will increase the quality and outreach of non-formal financial services they provide to women.

In primary education, the World Bank, UN agencies, European Union and the British Department for International Development (DFID) are providing assistance to the Indian Government's DPEP to improve coverage and quality of primary education, including provision of assistance in several states for school construction, teacher training, and decentralized management of schools. The USAID activity complements this comprehensive program by focusing specifically on gender training for teachers to improve community and classroom environments for girls' enrollment and participation in schools.

In the area of violence against women, UNIFEM launched a global campaign for the elimination of gender-based violence in the South Asia Region, but their activities are aimed more at generating awareness and transforming public attitudes by supporting small community-based initiatives. USAID complements ongoing interventions by providing information on patterns and trends of domestic violence that can be used as an advocacy tool for policy changes.

Major Contractors and Grantees: Center for International Education, University of Massachusetts, Catholic Relief Services, Academy for Educational Development, International Center for Research on Women, The Center for Development and Population Activities, Friends of Women's World Banking.

Performance Data Table

OBJECTIVE: SPO3 Expanded Advocacy and Service Delivery Networks for Women			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: IR 3.1 Sustainable Financial Services for Women Expanded			
INDICATOR: 3.1.2 Participating institutions trained in Strategic Business Planning (SBP)			
UNIT OF MEASURE: Number of institutions (cumulative) SOURCE: FWWB progress reports, NGO records, FWWB INDICATOR/DESCRIPTION: Participating institutions have undergone training in Strategic Business Planning (SBP). COMMENTS: Data reported for U.S Fiscal year: from October 1 to September 31. This activity, supported through a cooperative agreement under PROWID, comes to an end in September 1999.	YEAR	PLANNED	ACTUAL
	1996	0	0
	1997	10	8
	1998	30	32
	1999	50	

Performance Data Table

OBJECTIVE: SPO3 Expanded Advocacy and Service Delivery Networks for Women			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: IR 3.2 Increased Informed Advocacy for Reducing Violence against Women (VAW)			
INDICATOR: 3.2.1 Number of local institutions collecting data or assisting in informed advocacy on violence against women			
UNIT OF MEASURE: Number of institutions (cumulative)	YEAR	PLANNED	ACTUAL
	1996		0
SOURCE: ICRW project records, progress reports, ICRW	1997	9	4
	1998	18	20
INDICATOR/DESCRIPTION:	1999	30	
<p>COMMENTS: Data reported for U.S Fiscal year: from October 1 to September 31, 1998.</p> <p>The VAW activity supported through a co-operative agreement under PROWID comes to an end in September 1999. An extension has been obtained for this activity till January 2000, following which a different mechanism will be used to continue work on VAW.</p>			

Performance Data Table

OBJECTIVE: SPO3 Expanded Advocacy and service Delivery Networks for Women			
APPROVED: 09/07/1997 COUNTRY/ORGANIZATION: USAID/India			
RESULT NAME: IR3.3 Increased Girls' Primary School Completion in Uttar Pradesh			
INDICATOR: 3.3.1 Training module used in 'X' new blocks in U.P.			
UNIT OF MEASURE: Number of new blocks*	YEAR	PLANNED	ACTUAL
	1996		
SOURCE: UMASS project records, progress reports	1997	1	0
	1998	2	1
INDICATOR/DESCRIPTION:	1999	12	
	2000	6	
<p>COMMENTS: Data reported for U.S Fiscal year: from October 1 to September 31, 1998.</p> <ol style="list-style-type: none"> 1. Since GOI approval came in June 1997, and because of the sanctions, and a teacher's strike in U.P., the activity was delayed and training in the 2nd block was completed only in February 1999. 2. The training module will be implemented in 13 blocks in 1999, and the remaining 6 blocks will be covered in FY2000. <p>* The average population of a block in U.P ranges from 80,000 to 150,000. The MOU between USAID, UMASS and GOI will terminate in May 2001.</p>			

III. RESOURCE REQUEST

USAID/India's program responds to two key U.S. national interests: (a) global issues of population growth, climate change, and infectious diseases; and (b) humanitarian concerns of alleviating poverty and reducing malnutrition. USAID/India requests the following resource levels to make progress in achieving strategic and special objectives (in \$000):

	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>
DA/CSD	41,850	44,700	44,700
P.L. 480 - Title II	105,520	81,650	95,177
Urban/Environment Credit	20,000	25,000	25,000
	-----	-----	-----
Total:	167,370	151,350	164,877
	-----	-----	-----
Operating Expenses (Including ICASS)	3,825	3,825	3,825

The FY-98 pre-sanctions DA/CSD OYB level was \$54.75 million. The FY-99 OYB reflects cuts in the environment and economic growth programs. For the FY-01 DA/CSD request level, the Mission has straight-lined the FY-00 CP level mainly reflecting an increase in the SO 4 environment program to the pre-sanctions level of about \$10.0 million per annum. If sanctions are lifted the Mission would like to restart the Economic Growth program. Resumption of the program would require raising the OYB toward the pre-sanctions DA/CSD level of \$54.75 million.

Post-sanctions, USAID/India resources are almost entirely covered by earmarks/directives (POP funds counted as an earmark). If the FY-99 earmark/directive pattern continues, approximately 97% of our FY-00 and FY-01 DA/CSD resources will be covered by earmarks/directives. The Mission will only be able to absorb additional earmarks/directives in any particular category by decreasing an existing earmark/directive or raising the Mission's overall OYB.

The fluctuation in P.L. 480 Title II levels is due mainly to additional vegetable oil provided in alternate years that generate rupees to cover program administration costs and, in part, to commodity price fluctuations.

If 97% of the Mission's FY-00/01 DA/CSD resources are attributed to earmark/directive targets, decisions on how the Mission would absorb a 20-25% budget cut would be heavily contingent on ANE plans for meeting earmarks/directives targets. The following Mission priorities are proposed recognizing that they may be superseded by ANE earmark/directive priorities. Under a 20-25% budget-cut scenario the Mission would eliminate the polio eradication (SO 7) and clean technology component of GCC (SO 4) activities. The Reproductive Health (SO 2) and the infectious disease and HIV/AIDS (SO 7) programs would be reduced. The following is

USAID/India's rank ordering of its strategic/special objectives:

- SO 2 - Reduced Fertility and Improved Reproductive Health in North India.
- SO 4 - Increased Environmental Protection in Energy, Industry and Cities .
- SO 7 - Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India.
- SO 3 - Improved Child Survival and Nutrition in Selected Areas of India.
- SpO 3 - Expanded Advocacy and Service Delivery Networks for Women.

The above ranking is based on factors such as performance, overall importance of the objective in achieving USAID/India's goals, relative importance in the context of the Agency's objectives, especially their global implications, and the U.S. Mission Performance Plan (MPP) priorities.

The Mission's 09/30/98 pipelines for SOs 2 and 4 cover more than 24 months of planned expenditures and are therefore inconsistent with the forward funding guidelines. As of 09/30/98 SO 2 had a pipeline of \$46.3 million, of which the IFPS project accounted for \$39.6 million. The Performance Based Disbursement system requires the project to maintain a large pipeline to pay for the approved benchmarks and negotiate new benchmarks. The uncommitted IFPS pipeline of \$31 million as of 09/30/98 was fully committed in March 1999 for benchmarks, which have been negotiated with the project implementing agency. By the end of FY-99, the uncommitted IFPS pipeline is expected to drop to about \$1.0 million. IFPS expenditures are tied to benchmarks and there is always a time lag between commitments and disbursements. Under the PBD system, the FY-99 commitments of \$42.5 million will take more than 24 months for disbursement. The project will continue to have a large pipeline. The excessive SO 4 pipeline is primarily attributable to the Greenhouse Gas Pollution Prevention project which was fully funded at \$18.92 million in FY-95 to help the Agency meet its commitment for Global Environmental Facility (GEF). Also, the GEP activity under SO 4 has a large loan component implemented by a private sector bank that requires large up-front commitment of funds with uneven and delayed disbursement.

The Mission's pipeline will progressively decrease to \$53.9 million by 09/30/2001 as compared to \$85.7 million at the end of FY-98. About \$19.6 million (36%) of this pipeline will be in new activities that will have started in FY-99 or FY-00. The estimated 09/30/2001 pipeline will be only 1.2 year's pipeline at the FY-01 expenditure rate and is expected to be fully expended in the subsequent 12-to-24 months as per the Agency's forward funding guidelines.

USAID/India has straight lined its budget request at \$3.825 million for the FYs 1999 through 2001. This is more than \$200,000 lower than last year's level of \$4.039 million after excluding the \$900,000 received last year for the office move. Beginning in FY-99, USAID/India added the responsibilities for financial and EXO operations of Sri Lanka. This has greatly reduced Sri Lanka's OE requirements without any addition to our level, thus resulting in a net gain to the Agency. The proposed OE and staffing levels are the minimum required to implement the planned program.

IV. INFORMATION ANNEXES

Information Annex 1 – Environmental Compliance

No ongoing Mission activities have outstanding implementation actions related to the requirements under 22 CFR 216, such as Initial Environmental Assessment (IEA) or Environmental Assessment (EA).

Because of sanctions in FY 98, two programs under our environmental Strategic Objective (SO 4) could not commence: the new start, Energy Conservation and Commercialization (ECO) project and the amended Green House Gas Emission (GEP) project. When funds become available, USAID/India will, in consultation with ANE/BEO, conduct an IEA as part of the project authorization process for ECO. A negative determination is anticipated for this project. Similarly, the mission will submit an IEA amendment to ANE/BEO for concurrence on the modification of GEP with increased funding. As the nature of project activities remain the same despite this modification, we believe the original Categorical Exclusion (CE) granted to GEP will remain valid.

ANE/BEO approved an IEE amendment to a planned \$30 million increase in funding for the FIRE expansion project.

For FY-99, a new start under Special Objective 3 (SpO3) – the “Micro-Enterprise” project, mission will seek ANE/BEO approval of CE. Similarly another FY 1999 new start under SO 3 “Improved Mother and Child Services” project will require similar ANE/ BEO approval of CE.

In FY 1998 mission received ANE/BEO approval of CE for our SO 7 AVERT project and SO 3 PL 480 Title II Food for Peace program.

Information Annex 2 - Updated Results Framework

Strategic Objective 1: Increased Capacity of Financial Markets to Mobilize Resources.
(Activities terminated in FY 1998 by sanctions. When sanctions are lifted Economic Growth Strategy will be submitted for resumption of SO activities)

Strategic Objective 2: Reduced Fertility and Improved Reproductive Health in North India

Intermediate Result 2.1: Increased Quality of Family Planning Services

Intermediate Result 2.2: Increased Use of Family Planning Services

Intermediate Result 2.3: Increased Use of Reproductive Health Services

Strategic Objective 3: Improved Child Survival and Nutrition in Selected Areas of India

Intermediate Result 3.1: Increased Use of Key Child Survival Interventions

Intermediate Result 3.2: Improved Maternal and Child Nutrition

Intermediate Result 3.3: Improved Targeting of At-risk Populations

Strategic Objective 4: Increased Environmental Protection in Energy, Industry and Cities

Intermediate Result 4.1: Increased Efficiency and Decreased Pollution in Energy Supply and Use

Intermediate Result 4.2: Pollution Reduced in Selected Industrial Sectors

Intermediate Result 4.3: Improved Urban Environmental Infrastructure Built and Services Delivered in Selected Cities

Strategic Objective 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India

Special Objective 3: Expanded Advocacy and Service Delivery Networks for Women

Intermediate Result 3.1 Sustainable Financial Services for Women Expanded

Intermediate Result 3.2 Increased Informed Advocacy for Reducing Violence Against Women

Intermediate Result 3.3 Enrollment and Retention of Girls in Schools of UP increased

Information Annex 3 - Global Climate Change

The USAID/India Environment program (SO4) is designed to improve urban environmental services and increase efficiency in the electric power and industrial sectors while reducing greenhouse (GHG) emissions. As the sixth largest and second fastest growing producer of GHG in the world, India's willingness and ability to tackle GHG emissions is key to addressing the issue of global warming. Electric power generation is the single largest source of GHG emissions in India, accounting for 48% of India's carbon emissions from fossil fuels. The program also reduces industrial GHG emissions through adoption of environmental management systems and clean technologies.

The last one-year saw USAID/India play a leading role in designing the Global Climate Change Strategy of the U.S. Mission in India. This Strategy was developed through an intensive inter-agency process and now forms the centerpiece of our Mission Performance Plan (MPP) in the environment area.

The objectives of the strategy are to:

- influence the Government of India so that it takes a more proactive and constructive stand during international global climate change negotiations,
- strengthen Indian participation to promote flexible instruments for greenhouse gas (GHG) emissions reduction, such as the Activities Implemented Jointly/Clean Development Mechanism (AIJ/CDMechanism), and
- help develop a better understanding of “meaningful participation” by both the U.S. and India, so that a climate change agenda with meaningful developing country participation may be achieved.

Under the Strategy, the U.S. Mission to India will encourage Indian counterparts to take credit for the considerable Greenhouse Gas mitigation work that they have accomplished. Examples include increasing thermal power generation efficiency, reducing power subsidies, enacting reform legislation like the Energy Regulatory Reform Act, and increasing power generation from renewable energy sources.

Another exciting development has been the launch of an “Indo-U.S. Dialogue on Climate Change,” – a forum of respected executives and professionals to promote actions to meet the challenges and take advantage of the opportunities presented by climate change mitigation, with special emphasis on the potential role of AIJ/CDM. Under this USAID activity, the Indo-U.S. Business Dialogue will be led by Ms. Katie McGinty, former Chair, White House Council on Environmental Quality.

USAID/India helped draft legislation establishing Electricity Regulatory Commissions at the federal and state levels. To date, the Central Electricity Regulatory Commission (CERC) and six state commissions have been established, with five others states in the process of establishing theirs. Technical Assistance was provided to the CERC and to State Electricity Regulatory Commissions in Haryana, Punjab and West Bengal. In Haryana, USAID efforts play an

important complementary role to larger World Bank and British Department for International Development programs. USAID assistance in tariff reform and training has been closely coordinated with other donors. The CERC is developing an exciting new relationship with the Federal Energy Regulatory Commission and the Massachusetts Department of Telecommunications and Energy under the USAID/USEA energy partnership program. A new partnership agreement between Tamil Nadu Electricity Board and Texas Utilities was also signed in FY-99. The partnership program provides a long-term mechanism for transfer of U.S. technology and experience to India, while increasing U.S. access to the large Indian market. Regulatory reform and restructuring is also the focus of our energy training program, with hundreds of key power-sector partners trained in the past year.

USAID support to the National Thermal Power Corporation (NTPC) helped reduce 1.1 million tons of carbon dioxide at their coal-fired power plants. USAID training has developed a cadre of skilled professionals at NTPC who are implementing the efficiency techniques that have resulted in these GHG reductions. Several states have requested assistance to establish similar cadres and have been initiated at Gujarat Electricity Board and Maharashtra State Electricity Board.

In renewable energy, our assistance resulted in installation of nearly 200 MW of capacity fuelled by biomass/bagasse, including the first and only Indian cogeneration facility to provide electric power with zero net GHG emissions by operating on biomass fuels alone. At least three other sugar mills are slated to follow suit in the coming year. USAID supported commercial sales of domestic lighting for 2,500 rural households using solar photovoltaic technology. USAID has an active Electric Vehicle (EV) program in cooperation with the Global Bureau's Office of Energy. Prototype scooters and three-wheel autorickshaw EVs are being produced by U.S. and Indian firms for use in Delhi and in Agra to reduce air pollution. This activity has the potential for dramatically increasing public awareness for reducing urban air pollution through zero emission vehicles.

Information Annex 4 - CRS/India PL 480 Title II Program - Agriculture

A small portion of the food allocated to CRS does not directly contribute to the achievement of USAID's strategic objectives. USAID/India does, however, support these activities given the innovativeness of the interventions and the target groups reached (largely tribals). The CRS Food for Work (FFW) program aims to improve food security through the participation of India's most vulnerable groups in sustainable development activities, specifically sustainable improvement in household agricultural production of resource poor farmers through natural resource management

IR No.1: Increase in agricultural productivity and production.

Productivity for paddy (unhusked rice) and wheat increased in FY-98. There continues to be high variation in the range of productivity, which is attributable to the breadth of the working area and variations in land situations. For instance, information on paddy yield is from six different agro-ecological zones where rainfall, soil quality and temperature fluctuations are great.

IR No.2: Improved agricultural sustainability.

Water table results for FY-98 were appreciably higher than FY-97. This may be more attributable to higher rainfall than to project interventions. CRS continues to have difficulty in collecting district or block level rainfall information from secondary sources to review water table data against this important factor. General information available to CRS indicate that rainfall was roughly 20% higher than average.

Increased participation of poorest population :

In FY-98, approximately 95% of program participants were from households falling in the targeted categories of Scheduled Caste/Scheduled Tribes (SC/ST) and Other Backward classes (OBC) compared to the last year's results for SC and ST (data was not available for OBC) of 73%. Eighty per cent of Title II agriculture resources were programmed in districts meeting the district level targeting comprised of (a) rural female literacy rate; (b) per capita value of output of major crops; (c) infant mortality rate; and (d) rural SC/ST percentage.

CRS's agriculture program helps to check seasonal migration, targeting villages where (a) low percentage of households having access to winter crop irrigation, (b) high SC/ST/OBC percentage in watershed/cluster, (c) low percentage of households with access to tractor and power tillers, (d) high percentage of households having agriculture as primary occupation and (e) majority of the cultivable lands owned by farmers with less than five acres.

In the CRS Title II Results Report, examples of success such as harvest water and restore farm land that of Sundergarh, Orissa are given.

Increasing effectiveness of the program:

CRS has made strides in transitioning to an area approach. In FY-98, CRS allocated 95% of its resources to projects taking an area approach (19% to watershed and 76% to cluster projects which are individual FFW activities carried out in a specified area, which is more or less contiguous.) This compares favorably to the FY 97 figure of 11%.

Participation is one of the key criteria upon which CRS investment decisions are made in the agriculture sector. Decisions regarding the two principle intervention options, watershed and cluster, are largely influenced by the degree of community organization in the community and the community's capacity to take on increasing responsibility for project design and implementation.

To improve program monitoring and quality, staff strength of CRS' counterpart was increased from 35 to 188. A wide range of training was provided to project level personnel from the field and to CRS staff to improve quality and impact.

CRS is in the process of testing its Management Information System (MIS) system for the agriculture sector. Initial training was conducted in two partner locations in June 98, with follow up in the first quarter of FY 99. The test period will be completed in the second quarter of FY 99. CRS watershed project is action oriented. Information in biophysical and socio-economic aspects such as climate, land, vegetation, livelihood etc. are collected through both primary and secondary data sources. This information is used to design interventions and develop plans.

FY 1999 Budget Request by Program/Country

Program/Country: INDIA

Approp Acct: DA/CSD

Scenario: Base Level

S.O. # , Title		FY 1999 Request														Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 99
	Bilateral/ Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G			
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																	
	Bilateral	12,500	0	0	0	0	0	11,000	1,500	0	0	0	0	0	20,000	38,757	
	Field Spt	6,000	0	0	0	0	0	6,000	0	0	0	0	0	0			
		18,500	0	0	0	0	0	17,000	1,500	0	0	0	0	0	20,000	38,757	
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																	
	Bilateral	1,100	0	0	0	0	0	0	1,100	0	0	0	0	0	500	2,700	
	Field Spt	400	0	0	0	0	0	0	400	0	0	0	0	0			
		1,500	0	0	0	0	0	0	1,500	0	0	0	0	0	500	2,700	
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																	
	Bilateral	6,500	0	0	0	0	0	0	0	0	0	0	6,500	0	14,600	27,626	
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0			
		6,500	0	0	0	0	0	0	0	0	0	0	6,500	0	14,600	27,626	
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																	
	Bilateral	5,500	0	0	0	0	0	0	0	500	5,000	0	0	0	2,366	10,165	
	Field Spt	8,150	0	0	0	0	0	0	4,000	3,300	850	0	0	0			
		13,650	0	0	0	0	0	0	4,000	3,800	5,850	0	0	0	2,366	10,165	
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																	
	Bilateral	500	500	0	0	0	0	0	0	0	0	0	0	0	0	500	
	Field Spt	1,200	0	0	500	500	0	0	0	0	0	0	0	200			
		1,700	500	0	500	500	0	0	0	0	0	0	0	200	0	500	
Total Bilateral		26,100	500	0	0	0	0	11,000	2,600	500	5,000	0	6,500	0	37,466	79,748	
Total Field Support		15,750	0	0	500	500	0	6,000	4,400	3,300	850	0	0	200	0	0	
TOTAL PROGRAM		41,850	500	0	500	500	0	17,000	7,000	3,800	5,850	0	6,500	200	37,466	79,748	

FY 99 Request Agency Goal Totals	
Econ Growth	1,000
Democracy	200
HCD	500
PHN	33,650
Environment	6,500
Program ICASS	0
GCC (from all Goals)	3,000

FY 99 Account Distribution	
Dev. Assist Program	24,700
Dev. Assist ICASS	
Dev. Assist Total:	24,700
CSD Program	17,150
CSD ICASS	
CSD Total:	17,150

Note: 1. The Mission's FY 1999 SO 2 Population Field Support Request totals \$8 million. Of this, \$6 million is to be funded from FY 1999 NOA Population funds and the balance \$2 million from FY 1998 carry over Population funds.

2. FY 1999 SO 4 Field Support obligations of \$2.223 million will be funded from FY 1998 carry over funds.

FY 2000 Budget Request by Program/Country

Program/Country: INDIA

Approp Acct: DA/CSD

Scenario: Base Level

S.O. # , Title		FY 2000 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 00
	Bilateral/ Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G		
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																
	Bilateral	14,500	0	0	0	0	0	10,000	4,500	0	0	0	0	0	19,438	33,819
	Field Spt	7,000	0	0	0	0	0	7,000	0	0	0	0	0	0		
		21,500	0	0	0	0	0	17,000	4,500	0	0	0	0	0	19,438	33,819
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																
	Bilateral	1,800	0	0	0	0	0	0	1,800	0	0	0	0	0	2,300	2,200
	Field Spt	200	0	0	0	0	0	0	200	0	0	0	0	0		
		2,000	0	0	0	0	0	0	2,000	0	0	0	0	0	2,300	2,200
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																
	Bilateral	9,000	0	0	0	0	0	0	0	0	0	0	9,000	0	17,333	19,293
	Field Spt	1,000	0	0	0	0	0	0	0	0	0	0	1,000	0		
		10,000	0	0	0	0	0	0	0	0	0	0	10,000	0	17,333	19,293
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																
	Bilateral	5,500	0	0	0	0	0	0	0	500	5,000	0	0	0	3,907	11,758
	Field Spt	3,000	0	0	0	0	0	0	1,000	1,500	500	0	0	0		
		8,500	0	0	0	0	0	0	1,000	2,000	5,500	0	0	0	3,907	11,758
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																
	Bilateral	1,500	500		0	1,000	0	0	0	0	0	0	0	0	400	1,600
	Field Spt	1,200	0		500	0	0	0	0	0	0	0	0	700		
		2,700	500	0	500	1,000	0	0	0	0	0	0	0	700	400	1,600
Total Bilateral		32,300	500	0	0	1,000	0	10,000	6,300	500	5,000	0	9,000	0	43,378	68,670
Total Field Support		12,400	0	0	500	0	0	7,000	1,200	1,500	500	0	1,000	700	0	0
TOTAL PROGRAM		44,700	500	0	500	1,000	0	17,000	7,500	2,000	5,500	0	10,000	700	43,378	68,670

FY 00 Request Agency Goal Totals	
Econ Growth	1,000
Democracy	700
HCD	1,000
PHN	32,000
Environment	10,000
Program ICASS	0
GCC (from all Goals)	8,000

FY 00 Account Distribution	
Dev. Assist Program	28,700
Dev. Assist ICASS	
Dev. Assist Total:	28,700
CSD Program	16,000
CSD ICASS	
CSD Total:	16,000

FY 2001 Budget Request by Program/Country

Program/Country: INDIA

Approp Acct: DA/CSD

Scenario: Base Level

S.O. # , Title																		
		FY 2001 Request													Est. S.O. Expendi- tures	Est. S.O. Pipeline End of FY 01	Future Cost (POST- 2001)	
	Bilateral/ Field Spt	Total	Micro- Enterprise	Agri- culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G				
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																Year of Final Oblig: FY 2004		
	Bilateral	11,000	0	0	0	0	0	9,000	2,000	0	0	0	0	0	21,000	23,819	110,181	
	Field Spt	7,000	0	0	0	0	0	7,000	0	0	0	0	0	0	0	0	12,994	
		18,000	0	0	0	0	0	16,000	2,000	0	0	0	0	0	21,000	23,819	123,175	
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																Year of Final Oblig: FY 2003		
	Bilateral	1,800	0	0	0	0	0	0	1,800	0	0	0	0	0	1,200	2,800	5,300	
	Field Spt	200	0	0	0	0	0	0	200	0	0	0	0	0	0	0	575	
		2,000	0	0	0	0	0	0	2,000	0	0	0	0	0	1,200	2,800	5,875	
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																Year of Final Oblig: FY 2005		
	Bilateral	10,500	0	0	0	0	0	0	0	0	0	0	10,500	0	16,203	13,590	42,408	
	Field Spt	1,000	0	0	0	0	0	0	0	0	0	0	1,000	0	0	0	2,777	
		11,500	0	0	0	0	0	0	0	0	0	0	11,500	0	16,203	13,590	45,185	
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																Year of Final Oblig: FY 2005		
	Bilateral	6,980	0	0	0	0	0	0	0	500	6,480	0	0	0	6,233	12,505	29,400	
	Field Spt	3,720	0	0	0	0	0	0	1,500	1,500	720	0	0	0	0	0	4,830	
		10,700	0	0	0	0	0	0	1,500	2,000	7,200	0	0	0	6,233	12,505	34,230	
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																Year of Final Oblig: FY 2005		
	Bilateral	1,000	500	0	0	500	0	0	0	0	0	0	0	0	1,400	1,200	7,000	
	Field Spt	1,500	0	0	500	0	0	0	0	0	0	0	0	1,000	0	0	3,103	
		2,500	500	0	500	500	0	0	0	0	0	0	0	1,000	1,400	1,200	10,103	
Total Bilateral		31,280	500	0	0	500	0	9,000	3,800	500	6,480	0	10,500	0	46,036	53,914	194,289	
Total Field Support		13,420	0	0	500	0	0	7,000	1,700	1,500	720	0	1,000	1,000	0	0	24,279	
TOTAL PROGRAM		44,700	500	0	500	500	0	16,000	5,500	2,000	7,200	0	11,500	1,000	46,036	53,914	218,568	

FY 01 Request Agency Goal Totals	
Econ Growth	1,000
Democracy	1,000
HCD	500
PHN	30,700
Environment	11,500
Program ICASS	0
GCC (from all Goals)	8,500

FY 01 Account Distribution	
Dev. Assist Program	29,500
Dev. Assist ICASS	
Dev. Assist Total:	29,500
CSD Program	15,200
CSD ICASS	
CSD Total:	15,200

Notes:

1. Estimated SO Expenditure and Pipeline data is for bilateral funds only.
2. Future Cost (Post 2001) data is for both, bilateral and field support funds.
3. Estimated Pipeline at the end of each fiscal year and Future Cost presumes obligation of suspended FY 1998 climate change and populaion funds in FY 1999.

FY 1999 Budget Request by Program/Country

Program/Country: INDIA
 Approp Acct: P.L.480 Title II
 Scenario: Base Level

S.O. # , Title		FY 1999 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 99
	Bilateral/ Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G		
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																
	Bilateral	105,520	0	0	6,220	5,767	0	0	89,320	0	0	4,213	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		105,520	0	0	6,220	5,767	0	0	89,320	0	0	4,213	0	0	0	0
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		105,520	0	0	6,220	5,767	0	0	89,320	0	0	4,213	0	0	0	0
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		105,520	0	0	6,220	5,767	0	0	89,320	0	0	4,213	0	0	0	0

FY 99 Request Agency Goal Totals	
Econ Growth	6,220
Democracy	0
HCD	5,767
PHN	93,533
Environment	0
Program ICASS	0
GCC (from all Goals)	0

FY 99 Account Distribution	
Dev. Assist Program	0
Dev. Assist ICASS	
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	
CSD Total:	0

FY 2000 Budget Request by Program/Country

Program/Country: INDIA
 Approp Acct: P.L.480 Title II
 Scenario: Base Level

S.O. # , Title		FY 2000 Request														Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 00
	Bilateral/ Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G			
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																	
	Bilateral	81,650	0	0	6,350	5,766	0	0	67,102	0	0	2,432	0	0	0	0	
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		81,650	0	0	6,350	5,766	0	0	67,102	0	0	2,432	0	0	0	0	
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Total Bilateral		81,650	0	0	6,350	5,766	0	0	67,102	0	0	2,432	0	0	0	0	
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
TOTAL PROGRAM		81,650	0	0	6,350	5,766	0	0	67,102	0	0	2,432	0	0	0	0	

FY 00 Request Agency Goal Totals	
Econ Growth	6,350
Democracy	0
HCD	5,766
PHN	69,534
Environment	0
Program ICASS	0
GCC (from all Goals)	0

FY 00 Account Distribution	
Dev. Assist Program	0
Dev. Assist ICASS	
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	
CSD Total:	0

FY 2001 Budget Request by Program/Country

Program/Country: INDIA
 Approp Acct: P.L.480 Title II
 Scenario: Base Level

S.O. # , Title		FY 2001 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 01	Future Cost (POST-2001)
	Bilateral/Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G			
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																	
	Bilateral	95,177	0	0	7,611	8,212	0	0	76,794	0	0	2,560	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		95,177	0	0	7,611	8,212	0	0	76,794	0	0	2,560	0	0	0	0	0
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		95,177	0	0	7,611	8,212	0	0	76,794	0	0	2,560	0	0	0	0	0
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		95,177	0	0	7,611	8,212	0	0	76,794	0	0	2,560	0	0	0	0	0

FY 01 Request Agency Goal Totals	
Econ Growth	7,611
Democracy	0
HCD	8,212
PHN	79,354
Environment	0
Program ICASS	0
GCC (from all Goals)	0

FY 01 Account Distribution	
Dev. Assist Program	0
Dev. Assist ICASS	
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	
CSD Total:	0

FY 1999 Budget Request by Program/Country

Program/Country: INDIA

Approp Acct: Urban/Environment Credit

Scenario: Base Level

S.O. # , Title		FY 1999 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 99
	Bilateral/ Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G		
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																
	Bilateral	20,000	0	0	0	0	0	0	0	0	0	0	20,000	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		20,000	0	0	0	0	0	0	0	0	0	0	20,000	0	0	0
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		20,000	0	0	0	0	0	0	0	0	0	0	20,000	0	0	0
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		20,000	0	0	0	0	0	0	0	0	0	0	20,000	0	0	0

FY 99 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	20,000
Program ICASS	0
GCC (from all Goals)	0

FY 99 Account Distribution	
Dev. Assist Program	0
Dev. Assist ICASS	
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	
CSD Total:	0

FY 2000 Budget Request by Program/Country

Program/Country: INDIA

Approp Acct: Urban/Environment Credit

Scenario: Base Level

S.O. # , Title		FY 2000 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 00
	Bilateral/ Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G		
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04																
	Bilateral	25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0

FY 00 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	25,000
Program ICASS	0
GCC (from all Goals)	0

FY 00 Account Distribution	
Dev. Assist Program	0
Dev. Assist ICASS	
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	
CSD Total:	0

FY 2001 Budget Request by Program/Country

Program/Country: INDIA

Approp Acct: Urban/Environment Credit

Scenario: Base Level

S.O. # , Title		FY 2001 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY 01	Future Cost (POST-2001)
	Bilateral/Field Spt	Total	Micro-Enterprise	Agri-culture	Other Economic Growth	Children's Basic Education	Other HCD	Population	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G			
S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04															Year of Final Oblig: FY 2005		
	Bilateral	25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0	0
S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3																	
	Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral		25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0	0
Total Field Support		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM		25,000	0	0	0	0	0	0	0	0	0	0	25,000	0	0	0	0

FY 01 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	25,000
Program ICASS	0
GCC (from all Goals)	0

FY 01 Account Distribution	
Dev. Assist Program	0
Dev. Assist ICASS	
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	
CSD Total:	0

USAID/India
Accessing Global Bureau Services Through Field Support and Buy-Ins

Objective Name	Field Support: Activity Title and Number	Priority	Duration	Estimated Funding (\$ 000)			
				FY 2000		FY 2001	
				Obligated By:		Obligated By:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
<u>S.O. 2: Reduced Fertility and Improved Reproductive Health in North India, 386-SO02</u>							
<u>Population Funds:</u>							
936-3038	FP Logistics Management	High	1999-2001		200		200
936-3095	CONRAD	High	1999-2001		200		200
936-3050	The Population Council Program *	High	1999-2001		200		200
936-3052	Population Communication Services II *	High	1999-2001		500		500
936-3084	Cooperative for Assistance and Relief Everywhere *	High	1999-2001		300		300
936-3068	Asso. for Vol. Surgical Contracep. Program	High	1999-2001		1,000		1,000
936-3072	PRIME *	High	1999-2001		800		800
936-3078	Policy *	High	1999-2001		750		750
936-3083	MEASURE Communication (PRB)	High	1999-2001		200		200
936-3083	MEASURE DHS (Macro)	High	1999-2001		200		200
936-3083	MEASURE - BUCEN	High	1999-2001		150		150
936-3084	ENABLE	High	1999-2001		1,400		1,400
936-3085	Commercial Markets	High	1999-2001		900		900
936-5968	PATH	High	1999-2001		200		200
Total S.O. 2:				0	7,000	0	7,000
<u>S.O. 3: Improved Child Survival and Nutrition in Selected Areas of India, 386-SO03</u>							
<u>Child Survival/Micronutrient Funds:</u>							
936-3094.02	MOST	High	1999-2001		200		200
Total S.O. 3:				0	200	0	200

Objective Name	Field Support: Activity Title and Number	Priority	Duration	Estimated Funding (\$ 000)			
				FY 2000		FY 2001	
				Obligated By:		Obligated By:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
<u>S.O. 4: Increased Environmental Protection in Energy, Industry and Cities, 386-SO04</u>							
<u>Environment Global Climate Change Funds:</u>							
936-5741	Alternate Transportation Technologies Project (India component for Electric Vehicle)	High	1999-2001		1,000		1,000
Total S.O. 4:				0	1,000	0	1,000
<u>S.O. 7: Reduced Transmission and Mitigated Impact of Infectious Diseases, especially STD/HIV/AIDS in India, 386-SO07</u>							
<u>AIDS Funds:</u>							
936-3090	Implementing AIDS Prevention and Control Activities	High	1999-2001		500		720
<u>Infectious Diseases Funds</u>							
936-5991	Child Health Research Project (For INCLEN)	High	1999-2001		500		500
936-5994.03	Environment Health Project (For CDC PASA)	High	1999-2001		500		500
936-5994	Environment Health Project (For Grants to WHO)	High	1999-2001		500		500
<u>Child Survival/Polio Funds</u>							
936-3080.01	Polio Eradication Child Health Support (For WHO Grant)	High	1999-2001		400		800
936-3080.01	Polio Eradication Child Health Support (For UNICEF Grant)	High	1999-2001		400		500
936-5991	Child Health Research Project (For INCLEN)	High	1999-2001		200		200
Total S.O. 7:				0	3,000	0	3,720

Objective Name	Field Support: Activity Title and Number	Priority	Duration	Estimated Funding (\$ 000)			
				FY 2000		FY 2001	
				Obligated By:		Obligated By:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
<u>Sp.O. 3: Expanded Advocacy and Service Delivery Networks for Women, 386-SPO3</u>							
<u>Economic Growth Funds</u>							
936-0100	WID Strategies and Resources (WIDTECH Contract)	High	1999-2001	0	500	0	500
<u>Democracy Funds</u>							
936-0100	WID Strategies and Resources (WIDTECH Contract)	High	1999-2001	0	700	0	1,000
Total Sp.O. 3:				0	1,200	0	1,500
GRAND TOTAL.....				0	12,400	0	13,420

* These G/PHN projects currently end before 09/30/2001.

Org <u>USAID/INDIA</u>																
End of year On-Board	Workforce								Tables							
FY 1999 Estimate	SO 1	SO 2	SO 3	SO 4	SO 7	SpO1	SpO3	SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con-tract	Legal	All Other	Total Mgmt.	Total Staff
OE Funded: 1/																
U.S. Direct Hire		2	1	2	1			6	2	1	1	1		1	6	12
Other U.S. Citizens								0						1	1	1
FSN/TCN Direct Hire			2	1				3			1				1	4
Other FSN/TCN		10	5	11	6		4	36	3	12	44	3		2	64	100
Subtotal	0	12	8	14	7	0	4	45	5	13	46	4	0	4	72	117
Program Funded 1/																
U.S. Citizens		1		1				2							0	2
FSNs/TCNs				2				2							0	2
Subtotal	0	1	0	3	0	0	0	4	0	0	0	0	0	0	0	4
Total Direct Workforce	0	13	8	17	7	0	4	49	5	13	46	4	0	4	72	121
TAACS															0	0
Fellows															0	0
IDIs		1						1							0	1
Subtotal	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	1
TOTAL WORKFORCE	0	14	8	17	7	0	4	50	5	13	46	4	0	4	72	122

Workforce Tables

	SO 1	SO 2	SO 3	SO 4	SO 7	SpO1	SpO3	Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
FY 2000 Target																
OE Funded: 1/																
U.S. Direct Hire		2	1	2	1			6	2	1	1	1		1	6	12
Other U.S. Citizens								0						1	1	1
FSN/TCN Direct Hire			2	1				3			1				1	4
Other FSN/TCN		11	6	12	7		5	41	3	12	38	3		2	58	99
Subtotal	0	13	9	15	8	0	5	50	5	13	40	4	0	4	66	116
Program Funded 1/																
U.S. Citizens		1		1				2							0	2
FSNs/TCNs				2				2							0	2
Subtotal	0	1	0	3	0	0	0	4	0	0	0	0	0	0	0	4
Total Direct Workforce	0	14	9	18	8	0	5	54	5	13	40	4	0	4	66	120
TAACS								0							0	0
Fellows								0							0	0
IDIs		1		1				2							0	2
Subtotal	0	1	0	1	0	0	0	2	0	0	0	0	0	0	0	2
TOTAL WORKFORCE	0	15	9	19	8	0	5	56	5	13	40	4	0	4	66	122

FY 2000 Request																
OE Funded: 1/																
U.S. Direct Hire		2	1	2	1			6	2	1	1	1		1	6	12
Other U.S. Citizens								0						1	1	1
FSN/TCN Direct Hire			2	1				3			1				1	4
Other FSN/TCN		11	6	12	7		5	41	3	12	38	3		2	58	99
Subtotal	0	13	9	15	8	0	5	50	5	13	40	4	0	4	66	116
Program Funded 1/																
U.S. Citizens		1		1				2							0	2
FSNs/TCNs				2				2							0	2
Subtotal	0	1	0	3	0	0	0	4	0	0	0	0	0	0	0	4
Total Direct Workforce	0	14	9	18	8	0	5	54	5	13	40	4	0	4	66	120
TAACS								0							0	0
Fellows								0							0	0
IDIs		1		1				2							0	2
Subtotal	0	1	0	1	0	0	0	2	0	0	0	0	0	0	0	2
TOTAL WORKFORCE	0	15	9	19	8	0	5	56	5	13	40	4	0	4	66	122

1/ Excludes TAACS, Fellows, and IDIs

Org	Workforce Tables																
USAID/INDIA									SO/SpO	Org.	Fin.	Admin.	Con-	Legal	All	Total	Total
End of year On-Board	SO 1	SO 2	SO 3	SO 4	SO 7	SpO1	SpO3	Staff	Mgmt.	Mgmt	Mgmt	tract		Other	Mgmt.	Staff	
FY 2001 Target																	
OE Funded: 1/ U.S. Direct Hire		2	1	2	1			6	2	1	1	1		1	6	12	
Other U.S. Citizens								0						1	1	1	
FSN/TCN Direct Hire			1	1				2			1				1	3	
Other FSN/TCN		12	6	12	7		5	42	3	12	38	3		2	58	100	
Subtotal	0	14	8	15	8	0	5	50	5	13	40	4	0	4	66	116	
Program Funded 1/ U.S. Citizens		1		1				2							0	2	
FSNs/TCNs				2				2							0	2	
Subtotal	0	1	0	3	0	0	0	4	0	0	0	0	0	0	0	4	
Total Direct Workforce	0	15	8	18	8	0	5	54	5	13	40	4	0	4	66	120	
TAACS								0							0	0	
Fellows								0							0	0	
IDIs				1				1							0	1	
Subtotal	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	1	
TOTAL WORKFORCE	0	15	8	19	8	0	5	55	5	13	40	4	0	4	66	121	

FY 2001 Request																
OE Funded: 1/																
U.S. Direct Hire		2	1	2	1			6								
Other U.S. Citizens								0								
FSN/TCN Direct Hire			1	1				2								
Other FSN/TCN		12	6	12	7		5	42								
Subtotal	0	14	8	15	8	0	5	50								
Program Funded 1/																
U.S. Citizens		1		1				2								
FSNs/TCNs				2				2								
Subtotal	0	1	0	3	0	0	0	4								
Total Direct Workforce	0	15	8	18	8	0	5	54								
TAACS																
Fellows																
IDIs												1				
Subtotal	0	0	0	1	0	0	0	1								
TOTAL WORKFORCE	0	15	8	19	8	0	5	55								

1/ Excludes TAACS, Fellows, and IDIs

Workforce

MISSION :

USAID/INDIA

USDH STAFFING REQUIREMENTS BY SKILL CODE

BACKSTOP (BS)	NO. OF USDH EMPLOYEES IN BACKSTOP FY 1999	NO. OF USDH EMPLOYEES IN BACKSTOP FY 2000	NO. OF USDH EMPLOYEES IN BACKSTOP FY 2001	NO. OF USDH EMPLOYEES IN BACKSTOP FY 2002
01SMG	2	2	2	2
02 Program Officer	1	1	1	1
03 EXO	1	1	1	1
04 Controller	1	1	1	1
05/06/07 Secretary				
10 Agriculture				
11 Economics				
12 GDO				
12 Democracy				
14 Rural Development				
15 Food for Peace	1	1	1	1
21 Private Enterprise				
25 Engineering				
40 Environment	2	2	2	2
50 Health/Pop.	3	3	3	3
60 Education				
75 Physical Sciences				
85 Legal				
92 Commodity Mgt				
93 Contract Mgt	1	1	1	1
94 PDO				
95 IDI	1	2	1	
Other*				
TOTAL	13	14	13	12

*please list occupations covered by other if there are any

Operating Expenses

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	87.7		87.7	90.4		90.4	90.4		90.4	57.1		57.1	57.1		57.1
	Subtotal OC 11.1	87.7	0.0	87.7	90.4	0.0	90.4	90.4	0.0	90.4	57.1	0.0	57.1	57.1	0.0	57.1
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH			0.0			0.0			0.0			0.0			0.0
11.5	FNDH	0.4		0.4	0.3		0.3	0.3		0.3	0.3		0.3	0.3		0.3
	Subtotal OC 11.5	0.4	0.0	0.4	0.3	0.0	0.3	0.3	0.0	0.3	0.3	0.0	0.3	0.3	0.0	0.3
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	58.1		58.1	59.8		59.8	59.8		59.8	61.1		61.1	61.1		61.1
11.8	FN PSC Salaries	936.7		936.7	1,057.3		1,057.3	1,057.3		1,057.3	1,174.7		1,174.7	1,174.7		1,174.7
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 11.8	994.8	0.0	994.8	1,117.1	0.0	1,117.1	1,117.1	0.0	1,117.1	1,235.8	0.0	1,235.8	1,235.8	0.0	1,235.8
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	145.2		145.2	159.5		159.5	159.5		159.5	160.0		160.0	160.0		160.0
12.1	Cost of Living Allowances			0.0			0.0			0.0			0.0			0.0
12.1	Home Service Transfer Allowances			0.0			0.0			0.0			0.0			0.0
12.1	Quarters Allowances			0.0			0.0			0.0			0.0			0.0
12.1	Other Misc. USDH Benefits	4.2		4.2	1.4		1.4	1.4		1.4	2.1		2.1	2.1		2.1
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to FSN Voluntary Separation Fund - FNDH	7.0		7.0	1.1		1.1	1.1		1.1	1.1		1.1	1.1		1.1
12.1	Other FNDH Benefits	10.9		10.9	11.4		11.4	11.4		11.4	7.1		7.1	7.1		7.1
12.1	US PSC Benefits	4.4		4.4	4.5		4.5	4.5		4.5	4.6		4.6	4.6		4.6
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to the FSN Voluntary Separation Fund - FN PSC	42.0		42.0	23.9		23.9	23.9		23.9	20.8		20.8	20.8		20.8
12.1	Other FN PSC Benefits	111.7		111.7	113.6		113.6	113.6		113.6	123.9		123.9	123.9		123.9
12.1	IPA/Detail-In/PASA/RSSA Benefits			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 12.1	325.4	0.0	325.4	315.4	0.0	315.4	315.4	0.0	315.4	319.6	0.0	319.6	319.6	0.0	319.6
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0.0			0.0			0.0			0.0			0.0
13.0	Other Benefits for Former Personnel - FNDH			0.0			0.0			0.0			0.0			0.0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs	19.4		19.4			0.0			0.0			0.0			0.0
13.0	Other Benefits for Former Personnel - FN PSCs			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 13.0	19.4	0.0	19.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

Operating Expenses

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
21.0	Training Travel	55.0		55.0	60.5		60.5	60.5		60.5	55.0		55.0	55.0		55.0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field	35.5		35.5	9.0		9.0	9.0		9.0	13.5		13.5	13.5		13.5
21.0	Assignment to Washington Travel	1.5		1.5	7.0		7.0	7.0		7.0	14.5		14.5	14.5		14.5
21.0	Home Leave Travel	22.5		22.5	22.0		22.0	22.0		22.0	29.0		29.0	29.0		29.0
21.0	R & R Travel	34.4		34.4	43.5		43.5	43.5		43.5	32.0		32.0	32.0		32.0
21.0	Education Travel	21.0		21.0	15.0		15.0	15.0		15.0	7.5		7.5	7.5		7.5
21.0	Evacuation Travel			0.0			0.0			0.0			0.0			0.0
21.0	Retirement Travel			0.0			0.0			0.0			0.0			0.0
21.0	Pre-Employment Invitational Travel			0.0			0.0			0.0			0.0			0.0
21.0	Other Mandatory/Statutory Travel	25.0		25.0	25.0		25.0	25.0		25.0	25.0		25.0	25.0		25.0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel	10.0		10.0	11.0		11.0	11.0		11.0	10.0		10.0	10.0		10.0
21.0	Site Visits - Mission Personnel	160.0		160.0	178.0		178.0	178.0		178.0	196.0		196.0	196.0		196.0
21.0	Conferences/Seminars/Meetings/Retreats	90.0		90.0	99.0		99.0	99.0		99.0	90.0		90.0	90.0		90.0
21.0	Assessment Travel	10.0		10.0	10.0		10.0	10.0		10.0	10.0		10.0	10.0		10.0
21.0	Impact Evaluation Travel	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0
21.0	Disaster Travel (to respond to specific disasters)	3.0		3.0	3.0		3.0	3.0		3.0	3.0		3.0	3.0		3.0
21.0	Recruitment Travel			0.0			0.0			0.0			0.0			0.0
21.0	Other Operational Travel	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0
	Subtotal OC 21.0	477.9	0.0	477.9	493.0	0.0	493.0	493.0	0.0	493.0	495.5	0.0	495.5	495.5	0.0	495.5
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight	96.0		96.0	57.0		57.0	57.0		57.0	81.0		81.0	81.0		81.0
22.0	Home Leave Freight	12.0		12.0	12.0		12.0	12.0		12.0	24.0		24.0	24.0		24.0
22.0	Retirement Freight			0.0			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Office Furniture/Equip.	27.1		27.1	30.8		30.8	30.8		30.8	14.6		14.6	14.6		14.6
22.0	Transportation/Freight for Res. Furniture/Equip.	5.1		5.1	6.2		6.2	6.2		6.2			0.0			0.0
	Subtotal OC 22.0	140.2	0.0	140.2	106.0	0.0	106.0	106.0	0.0	106.0	119.6	0.0	119.6	119.6	0.0	119.6
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0.0			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Warehouse Space	52.9		52.9	58.1		58.1	58.1		58.1	58.1		58.1	58.1		58.1
23.2	Rental Payments to Others - Residences	531.1		531.1	347.1		347.1	347.1		347.1	398.6		398.6	398.6		398.6
	Subtotal OC 23.2	584.0	0.0	584.0	405.2	0.0	405.2	405.2	0.0	405.2	456.7	0.0	456.7	456.7	0.0	456.7
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities	101.0		101.0	6.0		6.0	6.0		6.0	7.8		7.8	7.8		7.8
23.3	Residential Utilities	65.0		65.0	65.0		65.0	65.0		65.0	75.0		75.0	75.0		75.0
23.3	Telephone Costs	69.0		69.0	25.0		25.0	25.0		25.0	25.0		25.0	25.0		25.0
23.3	ADP Software Leases			0.0			0.0			0.0			0.0			0.0
23.3	ADP Hardware Lease	12.0		12.0			0.0			0.0			0.0			0.0
23.3	Commercial Time Sharing			0.0			0.0			0.0			0.0			0.0
23.3	Postal Fees (Other than APO Mail)	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0
23.3	Other Mail Service Costs	7.0		7.0	7.0		7.0	7.0		7.0	7.0		7.0	7.0		7.0
23.3	Courier Services	7.0		7.0	7.0		7.0	7.0		7.0	7.0		7.0	7.0		7.0
	Subtotal OC 23.3	262.0	0.0	262.0	111.0	0.0	111.0	111.0	0.0	111.0	122.8	0.0	122.8	122.8	0.0	122.8

Operating Expenses

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
24.0	Printing and Reproduction			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 24.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0			0.0
25.1	Management & Professional Support Services			0.0	35.0		35.0	35.0		35.0			0.0			0.0
25.1	Engineering & Technical Services			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.1	0.0	0.0	0.0	35.0	0.0	35.0	35.0	0.0	35.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards	29.0		29.0	11.1		11.1	11.1		11.1	11.7		11.7	11.7		11.7
25.2	Residential Security Guard Services	12.4		12.4	13.2		13.2	13.2		13.2	13.9		13.9	13.9		13.9
25.2	Official Residential Expenses	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5
25.2	Representation Allowances	1.5		1.5	1.5		1.5	1.5		1.5	1.5		1.5	1.5		1.5
25.2	Non-Federal Audits			0.0			0.0			0.0			0.0			0.0
25.2	Grievances/Investigations			0.0			0.0			0.0			0.0			0.0
25.2	Insurance and Vehicle Registration Fees	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5
25.2	Vehicle Rental	25.0		25.0	25.0		25.0	25.0		25.0	25.0		25.0	25.0		25.0
25.2	Manpower Contracts	34.7		34.7	25.9		25.9	25.9		25.9	27.8		27.8	27.8		27.8
25.2	Records Declassification & Other Records Services			0.0			0.0			0.0			0.0			0.0
25.2	Recruiting activities			0.0			0.0			0.0			0.0			0.0
25.2	Penalty Interest Payments			0.0			0.0			0.0			0.0			0.0
25.2	Other Miscellaneous Services	16.5		16.5	28.0		28.0	28.0		28.0	29.4		29.4	29.4		29.4
25.2	Staff training contracts			0.0			0.0			0.0			0.0			0.0
25.2	ADP related contracts			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.2	120.1	0.0	120.1	105.7	0.0	105.7	105.7	0.0	105.7	110.3	0.0	110.3	110.3	0.0	110.3
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS	321.8		321.8	650.0		650.0	650.0		650.0	700.0		700.0	700.0		700.0
25.3	All Other Services from Other Gov't. accounts			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.3	321.8	0.0	321.8	650.0	0.0	650.0	650.0	0.0	650.0	700.0	0.0	700.0	700.0	0.0	700.0
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance	51.7		51.7	16.8		16.8	16.8		16.8	2.4		2.4	2.4		2.4
25.4	Residential Building Maintenance	29.3		29.3	12.7		12.7	12.7		12.7	32.0		32.0	32.0		32.0
	Subtotal OC 25.4	81.0	0.0	81.0	29.5	0.0	29.5	29.5	0.0	29.5	34.4	0.0	34.4	34.4	0.0	34.4
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0.0			0.0			0.0			0.0			0.0
25.7	Storage Services			0.0			0.0			0.0			0.0			0.0
25.7	Office Furniture/Equip. Repair and Maintenance	49.1		49.1	2.9		2.9	2.9		2.9	3.0		3.0	3.0		3.0
25.7	Vehicle Repair and Maintenance	3.1		3.1	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0
25.7	Residential Furniture/Equip. Repair and Maintenance	4.5		4.5	4.5		4.5	4.5		4.5	4.5		4.5	4.5		4.5
	Subtotal OC 25.7	56.7	0.0	56.7	9.4	0.0	9.4	9.4	0.0	9.4	9.5	0.0	9.5	9.5	0.0	9.5

Operating Expenses

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.8	Substance & spt. of persons (by contract or Gov't.)			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
26.0	Supplies and materials	140.0		140.0	80.0		80.0	80.0		80.0	60.0		60.0	60.0		60.0
	Subtotal OC 26.0	140.0	0.0	140.0	80.0	0.0	80.0	80.0	0.0	80.0	60.0	0.0	60.0	60.0	0.0	60.0
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.	47.8		47.8	63.4		63.4	63.4		63.4	3.4		3.4	3.4		3.4
31.0	Purchase of Office Furniture/Equip.	28.3		28.3	76.6		76.6	76.6		76.6	10.0		10.0	10.0		10.0
31.0	Purchase of Vehicles	22.0		22.0	44.0		44.0	44.0		44.0	22.0		22.0	22.0		22.0
31.0	Purchase of Printing/Graphics Equipment			0.0			0.0			0.0			0.0			0.0
31.0	ADP Hardware purchases	100.5		100.5	78.0		78.0	78.0		78.0	53.0		53.0	53.0		53.0
31.0	ADP Software purchases	15.0		15.0	15.0		15.0	15.0		15.0	15.0		15.0	15.0		15.0
	Subtotal OC 31.0	213.6	0.0	213.6	277.0	0.0	277.0	277.0	0.0	277.0	103.4	0.0	103.4	103.4	0.0	103.4
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0.0			0.0			0.0			0.0			0.0
32.0	Purchase of fixed equipment for buildings			0.0			0.0			0.0			0.0			0.0
32.0	Building Renovations/Alterations - Office			0.0			0.0			0.0			0.0			0.0
32.0	Building Renovations/Alterations - Residential			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
42.0	Claims and indemnities			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
TOTAL BUDGET		3,825.0	0.0	3,825.0	3,825.0	0.0	3,825.0	3,825.0	0.0	3,825.0	3,825.0	0.0	3,825.0	3,825.0	0.0	3,825.0

25.6	Medical Care	0.0	0.0	0.0	0.0	0.0
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Additional Mandatory Information

Dollars Used for Local Currency Purchases	<u>2,770.0</u>	<u>2,460.0</u>	<u>2,460.0</u>	<u>2,574.0</u>	<u>2,574.0</u>
Exchange Rate Used in Computations	<u>\$1 = 42.0</u>	<u>\$1 = 42.0</u>	<u>\$1 = 42.0</u>	<u>\$1 = 42.0</u>	<u>\$1 = 42.0</u>

** If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.
On that form, OE funded deposits must equal:

49.0	25.0	25.0	21.9	21.9
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Organization: USAID/INDIA

Foreign National Voluntary Separation Account									
Action	FY 1999			FY 2000			FY 2001		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	49.0	0.2	49.2	25.0	2.5	27.5	21.9	1.1	23.0
Withdrawals	52.7	0.0	52.7	45.2	0.0	45.2	0.0	0.0	0.0

Local Currency Trust Funds - Regular			
	FY 1999	FY 2000	FY 2001
Balance Start of Year	n/a	n/a	n/a
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

Exchange Rate _____

Local Currency Trust Funds - Real Property			
	FY 1999	FY 2000	FY 2001
Balance Start of Year	n/a	n/a	n/a
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

Exchange Rate _____

Controller Operations

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	0.0			0.0			0.0			0.0			0.0		
	Subtotal OC 11.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH	0.0			0.0			0.0			0.0			0.0		
	Subtotal OC 11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH	0.0			0.0			0.0			0.0			0.0		
11.5	FNDH	0.0			0.0			0.0			0.0			0.0		
	Subtotal OC 11.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	0.0			0.0			0.0			0.0			0.0		
11.8	FN PSC Salaries	121.8		121.8	137.5		137.5	137.5		137.5	152.7		152.7	152.7		152.7
11.8	IPA/Details-In/PASAs/RSSAs Salaries	0.0			0.0			0.0			0.0			0.0		
	Subtotal OC 11.8	121.8	0.0	121.8	137.5	0.0	137.5	137.5	0.0	137.5	152.7	0.0	152.7	152.7	0.0	152.7
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	13.2		13.2	14.5		14.5	14.5		14.5	16.0		16.0	16.0		16.0
12.1	Cost of Living Allowances	0.0			0.0			0.0			0.0			0.0		
12.1	Home Service Transfer Allowances	0.0			0.0			0.0			0.0			0.0		
12.1	Quarters Allowances	0.0			0.0			0.0			0.0			0.0		
12.1	Other Misc. USDH Benefits	0.0			0.0			0.0			0.0			0.0		
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to FSN Voluntary Separation Fund - FNDH	0.0			0.0			0.0			0.0			0.0		
12.1	Other FNDH Benefits	0.0			0.0			0.0			0.0			0.0		
12.1	US PSC Benefits	0.0			0.0			0.0			0.0			0.0		
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	** Payments to the FSN Voluntary Separation Fund - FN PSCs	5.4		5.4	3.1		3.1	3.1		3.1	2.7		2.7	2.7		2.7
12.1	Other FN PSC Benefits	14.5		14.5	14.8		14.8	14.8		14.8	16.1		16.1	16.1		16.1
12.1	IPA/Detail-In/PASA/RSSA Benefits	0.0			0.0			0.0			0.0			0.0		
	Subtotal OC 12.1	33.1	0.0	33.1	32.4	0.0	32.4	32.4	0.0	32.4	34.8	0.0	34.8	34.8	0.0	34.8
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH	0.0			0.0			0.0			0.0			0.0		
13.0	Other Benefits for Former Personnel - FNDH	0.0			0.0			0.0			0.0			0.0		
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs	0.0			0.0			0.0			0.0			0.0		
13.0	Other Benefits for Former Personnel - FN PSCs	0.0			0.0			0.0			0.0			0.0		
	Subtotal OC 13.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

Controller Operations

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
21.0	Training Travel	7.0		7.0	8.0		8.0	8.0		8.0	7.0		7.0	7.0		7.0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0.0			0.0			0.0	4.5		4.5	4.5		4.5
21.0	Assignment to Washington Travel			0.0			0.0			0.0	7.5		7.5	7.5		7.5
21.0	Home Leave Travel	12.5		12.5			0.0			0.0			0.0			0.0
21.0	R & R Travel			0.0	7.5		7.5	7.5		7.5			0.0			0.0
21.0	Education Travel	7.5		7.5	7.5		7.5	7.5		7.5			0.0			0.0
21.0	Evacuation Travel			0.0			0.0			0.0			0.0			0.0
21.0	Retirement Travel			0.0			0.0			0.0			0.0			0.0
21.0	Pre-Employment Invitational Travel			0.0			0.0			0.0			0.0			0.0
21.0	Other Mandatory/Statutory Travel	3.0		3.0	3.0		3.0	3.0		3.0	3.0		3.0	3.0		3.0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0.0			0.0			0.0			0.0			0.0
21.0	Site Visits - Mission Personnel	20.0		20.0	21.0		21.0	21.0		21.0	23.0		23.0	23.0		23.0
21.0	Conferences/Seminars/Meetings/Retreats	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0
21.0	Assessment Travel	1.0		1.0	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0
21.0	Impact Evaluation Travel			0.0			0.0			0.0			0.0			0.0
21.0	Disaster Travel (to respond to specific disasters)			0.0			0.0			0.0			0.0			0.0
21.0	Recruitment Travel			0.0			0.0			0.0			0.0			0.0
21.0	Other Operational Travel			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 21.0	56.0	0.0	56.0	54.0	0.0	54.0	54.0	0.0	54.0	52.0	0.0	52.0	52.0	0.0	52.0
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0.0			0.0			0.0	30.0		30.0	30.0		30.0
22.0	Home Leave Freight	6.0		6.0			0.0			0.0			0.0			0.0
22.0	Retirement Freight			0.0			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Office Furniture/Equip.	3.0		3.0	4.0		4.0	4.0		4.0	2.0		2.0	2.0		2.0
22.0	Transportation/Freight for Res. Furniture/Equip.	1.0		1.0	1.0		1.0	1.0		1.0			0.0			0.0
	Subtotal OC 22.0	10.0	0.0	10.0	5.0	0.0	5.0	5.0	0.0	5.0	32.0	0.0	32.0	32.0	0.0	32.0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0.0			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Warehouse Space	6.9		6.9	7.5		7.5	7.5		7.5	7.5		7.5	7.5		7.5
23.2	Rental Payments to Others - Residences	62.8		62.8	142.9		142.9	142.9		142.9			0.0			0.0
	Subtotal OC 23.2	69.7	0.0	69.7	150.4	0.0	150.4	150.4	0.0	150.4	7.5	0.0	7.5	7.5	0.0	7.5
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities	13.1		13.1	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0
23.3	Residential Utilities	8.4		8.4	8.4		8.4	8.4		8.4	9.8		9.8	9.8		9.8
23.3	Telephone Costs	8.9		8.9	3.2		3.2	3.2		3.2	3.2		3.2	3.2		3.2
23.3	ADP Software Leases			0.0			0.0			0.0			0.0			0.0
23.3	ADP Hardware Lease	1.5		1.5			0.0			0.0			0.0			0.0
23.3	Commercial Time Sharing			0.0			0.0			0.0			0.0			0.0
23.3	Postal Fees (Other than APO Mail)			0.0			0.0			0.0			0.0			0.0
23.3	Other Mail Service Costs	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0
23.3	Courier Services	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0	1.0		1.0
	Subtotal OC 23.3	33.9	0.0	33.9	14.6	0.0	14.6	14.6	0.0	14.6	16.0	0.0	16.0	16.0	0.0	16.0

Controller Operations

Org. Title: USAID/INDIA		Overseas Mission Budgets														
Org. No: 23386		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
24.0	Printing and Reproduction			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 24.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1	Advisory and assistance services	Do not enter data on this line					Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			
25.1	Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0			0.0
25.1	Management & Professional Support Services			0.0			0.0			0.0			0.0			0.0
25.1	Engineering & Technical Services			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Other services	Do not enter data on this line					Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			
25.2	Office Security Guards	3.7		3.7			0.0			0.0			0.0			0.0
25.2	Residential Security Guard Services	1.6		1.6	1.7		1.7	1.7		1.7	1.8		1.8	1.8		1.8
25.2	Official Residential Expenses			0.0			0.0			0.0			0.0			0.0
25.2	Representation Allowances			0.0			0.0			0.0			0.0			0.0
25.2	Non-Federal Audits			0.0			0.0			0.0			0.0			0.0
25.2	Grievances/Investigations			0.0			0.0			0.0			0.0			0.0
25.2	Insurance and Vehicle Registration Fees			0.0			0.0			0.0			0.0			0.0
25.2	Vehicle Rental	3.2		3.2	3.2		3.2	3.2		3.2	3.2		3.2	3.2		3.2
25.2	Manpower Contracts	4.5		4.5	3.4		3.4	3.4		3.4	3.6		3.6	3.6		3.6
25.2	Records Declassification & Other Records Services			0.0			0.0			0.0			0.0			0.0
25.2	Recruiting activities			0.0			0.0			0.0			0.0			0.0
25.2	Penalty Interest Payments			0.0			0.0			0.0			0.0			0.0
25.2	Other Miscellaneous Services	2.1		2.1	3.6		3.6	3.6		3.6	3.8		3.8	3.8		3.8
25.2	Staff training contracts			0.0			0.0			0.0			0.0			0.0
25.2	ADP related contracts			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.2	15.1	0.0	15.1	11.9	0.0	11.9	11.9	0.0	11.9	12.4	0.0	12.4	12.4	0.0	12.4
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line					Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			
25.3	ICASS	41.8		41.8	84.5		84.5	84.5		84.5	91.0		91.0	91.0		91.0
25.3	All Other Services from Other Gov't. accounts			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.3	41.8	0.0	41.8	84.5	0.0	84.5	84.5	0.0	84.5	91.0	0.0	91.0	91.0	0.0	91.0
25.4	Operation and maintenance of facilities	Do not enter data on this line					Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			
25.4	Office building Maintenance	6.7		6.7	2.2		2.2	2.2		2.2			0.0			0.0
25.4	Residential Building Maintenance	1.0		1.0	1.0		1.0	1.0		1.0	6.0		6.0	6.0		6.0
	Subtotal OC 25.4	7.7	0.0	7.7	3.2	0.0	3.2	3.2	0.0	3.2	6.0	0.0	6.0	6.0	0.0	6.0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line					Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			
25.7	ADP and telephone operation and maintenance costs			0.0			0.0			0.0			0.0			0.0
25.7	Storage Services			0.0			0.0			0.0			0.0			0.0
25.7	Office Furniture/Equip. Repair and Maintenance	6.4		6.4			0.0			0.0			0.0			0.0
25.7	Vehicle Repair and Maintenance			0.0			0.0			0.0			0.0			0.0
25.7	Residential Furniture/Equip. Repair and Maintenance			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.7	6.4	0.0	6.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Controller Operations

Org. Title: USAID/INDIA Org. No: 23386 OC		Overseas Mission Budgets														
		FY 1999 Estimate			FY 2000 Target			FY 2000 Request			FY 2001 Target			FY 2001 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.8	Substance & spt. of persons (by contract or Gov't.)			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 25.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
26.0	Supplies and materials	18.6		18.6	10.2		10.2	10.2		10.2	8.4		8.4	8.4		8.4
	Subtotal OC 26.0	18.6	0.0	18.6	10.2	0.0	10.2	10.2	0.0	10.2	8.4	0.0	8.4	8.4	0.0	8.4
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.	6.2		6.2	8.2		8.2	8.2		8.2			0.0			0.0
31.0	Purchase of Office Furniture/Equip.	3.7		3.7	10.0		10.0	10.0		10.0	1.3		1.3	1.3		1.3
31.0	Purchase of Vehicles	3.0		3.0	6.0		6.0	6.0		6.0	3.0		3.0	3.0		3.0
31.0	Purchase of Printing/Graphics Equipment			0.0			0.0			0.0			0.0			0.0
31.0	ADP Hardware purchases	13.0		13.0	10.1		10.1	10.1		10.1	6.9		6.9	6.9		6.9
31.0	ADP Software purchases	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0
	Subtotal OC 31.0	27.9	0.0	27.9	36.3	0.0	36.3	36.3	0.0	36.3	13.2	0.0	13.2	13.2	0.0	13.2
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)			0.0			0.0			0.0			0.0			0.0
32.0	Purchase of fixed equipment for buildings			0.0			0.0			0.0			0.0			0.0
32.0	Building Renovations/Alterations - Office			0.0			0.0			0.0			0.0			0.0
32.0	Building Renovations/Alterations - Residential			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
42.0	Claims and indemnities			0.0			0.0			0.0			0.0			0.0
	Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
TOTAL BUDGET		442.0	0.0	442.0	540.0	0.0	540.0	540.0	0.0	540.0	426.0	0.0	426.0	426.0	0.0	426.0

Additional Mandatory Information

Dollars Used for Local Currency Purchases	<u>341.0</u>		<u>398.0</u>		<u>398.0</u>		<u>285.0</u>		<u>285.0</u>
Exchange Rate Used in Computations	<u>\$1 =</u>	<u>42.0</u>	<u>\$1 =</u>	<u>42.0</u>	<u>\$1 =</u>	<u>42.0</u>	<u>\$1 =</u>	<u>42.0</u>	<u>\$1 =</u>

** If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.
On that form, OE funded deposits must equal: 5.4 3.1 3.1 2.7 2.7

USAID Climate Change Initiative Indicators Revised - February 1999

OVERVIEW

In June 1997, President Clinton committed the U.S. to providing at least \$1 billion over five years to assist developing and transition countries to combat the threat of global climate change. As the lead U.S. agency working in developing and transition countries, the Administration looked to USAID to fulfill this commitment. As a result, USAID launched its Climate Change Initiative (CCI) to implement the agency's climate change action plan for FY 1998-2002. Establishment of the CCI prompted a second step: the development of a plan to measure and report progress under the Initiative.

G/ENV was given the lead for tracking the implementation and results monitoring of USAID activities under the CCI. To do this, an Agency-wide team developed and refined indicators to capture the impact of climate change-related programs supported by USAID. Results captured through this effort will be reported annually (beginning in May, 1999) to the U.S. Congress and Administration and will constitute USAID's intra-agency tracking efforts under the Agency Objective for climate change.

REPORTING

This year marks the first year that reporting for the CCI is incorporated into R4 reporting. Each operating unit attributing resources to the CCI (see attached list of missions) must report on the relevant attached indicators through an information annex to their R4 submission. In addition, operating units are requested to provide a brief narrative (maximum 2-3 pages) of key accomplishments of these activities for inclusion in the annual report. The narrative should also describe extraordinary activities (i.e. forest fire response) that provide a climate change benefit not covered by the indicators.

The results and indicators in this packet have been reviewed Agency-wide and modified based on extensive comments from Bureaus and Missions, both prior to and resulting from the baseline data collection effort in Fall 1998. Most notably, the current packet has been expanded to include institutional capacity indicators for each of the three results that formally define the CCI, as requested by several missions. Additional changes should be suggested to the Global Climate Change Team, as field activities require.

Please note the following:

- This will be the second round of reporting on the climate change indicators for most operating units. Baseline data collected in Fall 1998 documented cumulative results from existing climate-related activities through FY 97. The current submission requests results from activities achieved during FY 98.

- Missions should report on as many indicators as possible except where they are clearly irrelevant to the Mission's program, or where the level of achievement of the indicator is beyond the manageable interest of the Mission's program.
- Missions should report on all biodiversity, forestry, agriculture, health, energy, urban, and other activities, which have climate change implications.
- Missions do not need to create new climate change Strategic Objectives or Results under which to report on these indicators. These GCC indicators are reported in the information annex to Mission R4s only, unless also tracked in the Mission's own performance monitoring plan (PMP).
- If FY 98 was the first year for your climate-related activity, your baseline should be zero, and results from work initiated should be reflected in current reporting.
- Because of the limited time between the release of this guidance and the submission of R4s, operating units are not required to report on result #4, "Reduced vulnerability to the threats posed by climate change for FY 98, as originally planned. However, if information exists on vulnerability activities and can be easily reported, G/ENV welcomes submission.
- The package has been divided into sections according to four desired results. Each section includes descriptions of each indicator, and forms to use to submit data for that indicator. The results are:
 - 1: Increased participation in the Framework Convention on Climate Change (UNFCCC)
 - 2: Reduced net greenhouse gas emissions from the land use/forest management sector
 - 3: Reduced emissions from the energy sector, industry and urban areas
 - 4: Reduced vulnerability to the threats posed by climate change

G/ENV will collect and compile the data for the indicators from the attached data collection forms. Please submit completed data forms with a brief narrative in an information annex to your R4. More detailed instructions for the data collection tables are provided on the following pages.

For questions on specific indicators or the Initiative reporting process, please contact:

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FAX: (202) 216-3174

E-mail: kbarrett@usaid.gov

Key Countries/Regions attributing to USAID' s Climate Change Initiative for FY 1998:

Brazil	India	Poland
Central Africa	Indonesia	Russia
Central America	Mexico	South Africa
Central Asia	Philippines	Ukraine

LAC:

Bolivia	Jamaica	Panama
Ecuador	LAC/RSD	Paraguay
Guatemala	Nicaragua	Peru
Honduras		

ANE:

Egypt	Nepal	US-AEP
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AFR:

FEWS	Madagascar	Uganda
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ENI:

Armenia	Georgia	Moldova
Albania	Lithuania	NIS Region
Bulgaria	Macedonia	Romania
CEE Regional		

G Bureau:

EGAD	G/ENV/ENR	G/ENV/UP	G/ENV/EET
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PPC, OFDA

RESULT 1: INCREASED PARTICIPATION IN THE FRAMEWORK CONVENTION ON CLIMATE CHANGE

A significant component of USAID's contribution to the USG post-Kyoto negotiating strategy is to assist developing countries in building the institutional and human capacity to undertake meaningful participation in international efforts to reduce greenhouse gas emissions. Although the definition of meaningful participation will undoubtedly entail different things for different countries, there are some key indicators that missions can use to determine what progress they are making to help countries achieve this goal. Some of these are easily measured, such as whether a Joint Implementation (JI) project is undertaken with USAID's assistance. Other indicators present more difficult subjects for measuring success, such as whether USAID has assisted a country to integrate climate change into its strategic planning process.

Indicator 1: Policy Development Supporting the Framework Convention on Climate Change

In order to measure USAID's contribution to encouraging and facilitating meaningful participation by developing countries in the UNFCCC, we have created a list of activities that would constitute "meaningful participation." Using a single indicator, the Agency can report on its contribution to U.S. diplomatic goals. Because development and implementation of a policy is a process that can take many years, the indicator is indexed to record progress in this continuum.

The table on the following page lists the ways in which an USAID-assisted country might be viewed as participating in the UNFCCC. One point should be given for each achievement in any of the following areas:

(More than one point can be awarded in a given area if, for example, USAID can be credited with helping generate more than one JI project.)

- integration of climate change into national strategic, energy, and sustainable development strategies
- national emissions inventory
- national mitigation analysis
- national vulnerability and adaptation analysis
- National Climate Change Action Plan
- procedures for receiving, evaluating, and approving JI proposals
- procedures for monitoring and verifying greenhouse gas emissions
- growth baselines for pegging greenhouse gas emissions to economic growth
- legally binding emission reduction targets and timetables
- flexible market mechanisms.

Unit: Policy steps achieved

Definitions:

Adaptation: adjustments in practices, processes or structures of systems to projected or actual changes of climate (may be spontaneous or planned).

Emissions inventory: detailed listing of GHG sources and sinks.

Growth Baselines: An approach that would link countries' emissions targets to improvements in energy efficiency.

Joint Implementation (JI): The process by which industrialized countries can meet a portion of their emissions reduction obligations by receiving credits for investing in GHG reductions in developing countries.

Mitigation: an action that prevents or slows the increase of greenhouse gases (GHGs) by reducing emissions from sources and sinks.

National Climate Change Action Plan: plans that delineate specific mitigation and adaptation measures that countries will implement and integrate into their ongoing programs. These plans form the basis for the national communications that countries submit to the UNFCCC Secretariat.

UNFCCC: the object of this convention is to achieve stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system.

Policy Steps:

1. Policy preparation and presentation: Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
2. Adoption: Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
3. Implementation and enforcement: Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Indicator 2: Increased capacity to meet requirements of the UNFCCC

This indicator tracks progress in strengthening institutions or increasing technical capacity to meet the requirements of the UNFCCC.

Unit: Number of points

Indicator 1: Policy Development Supporting the Framework Convention on Climate Change

Instructions: Please report on each policy measure addressed with USAID support or as a result of USAID efforts. Check the policy steps (1, 2 and/or 3) **that have been achieved** for each policy measure and list the activity(ies) that contribute to achievement of the policy steps in the last column.

Unit: Number of policy steps achieved

Country: _____ Policy Measure	Check Steps that Have Been Achieved			List Activity(ies) Contributing to Each Policy Category
	Step 1: Policy Preparation and Presentation	Step 2: Policy Adoption	Step 3: Implementation and Enforcement	
Integration of climate change into national strategic, energy, and sustainable development strategies				
Emissions inventory				
Mitigation analysis				
Vulnerability and adaptation analysis				
National Climate Change Action Plan				
Procedures for receiving, evaluating, and approving joint implementation (JI) proposals				
Procedures for monitoring and verifying greenhouse gas emissions				
Growth baselines for pegging greenhouse gas emissions to economic growth				
Legally binding emission reduction targets and timetables.				
Sub-total: Number of policy steps achieved				
Total policy steps achieved				

Indicator 2: Increased capacity to meet requirements of the UNFCCC

This indicator measures categories in which capacity is strengthened through training/technical assistance. Please report on each category addressed with USAID support or as a result of USAID efforts. Please check whether capacity is strengthened through training, technical assistance or both, and list the activity(ies) that contribute to each of the capacity building categories. Please report on other areas not listed, if appropriate.

Country: _____ Categories	Types of Support Provided		List the Activity(ies) that Contribute to Each Capacity Building Category
	Training	Technical Assistance	
Monitoring and verifying GHG emissions			
Growth baselines for pegging GHG emissions to economic growth			
Development of emissions reduction targets and timetables			
Support for activities implemented jointly			
Other			
Total number of points for Training/technical assistance			

RESULT 2: REDUCED NET GREENHOUSE GAS EMISSIONS FROM THE LAND USE/FOREST MANAGEMENT SECTOR

Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss.

In order to capture the full scope of USAID land use activities, please report on areas where USAID activities are making progress in protecting carbon stocks through preliminary interventions (on-the-ground carbon impacts may or may not have been realized). "Progress" is defined as activities which include one or more of the following:

- resource or land management plans developed
- community or household participation engaged in program implementation
- resource management initiated
- monitoring and evaluation system in place
- site-specific policy constraints being addressed (as opposed to national policy work captured under indicator 4).

Unit: Hectares

Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks .

This indicator captures a subset of the area reported under Indicator 1. Please report only on areas where carbon impacts have been achieved. Measurement and monitoring of biomass or carbon are not required for this indicator. Please provide a brief (two sentence) justification for including the area in this category to have available if requested during an audit (e.g., for 2a - a partner's assessment that an area has met rigorous criteria for protection, or documentation of the stabilization of forest area; for 2b - a partner's report documenting an area that has been converted from degraded agricultural land into a functional agroforestry plot).

2a. Area of natural ecosystems where carbon stocks are preserved and/or increasing (areas with *minimal or no* harvest of biomass). Areas included under this indicator are those without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community managed forests with minimal timber extraction. Please report the number of hectares for areas where on-the-ground impacts have been realized and documented or where improved management techniques have been comprehensively adopted.

Unit: Hectares in each habitat type.

2b. Area of managed forest, rangeland, and agricultural lands with reduced rate of loss of carbon or increased carbon stock (areas with *moderate or high levels* of harvest of biomass). Please report hectares where reduced rates of carbon emissions or increased carbon stock are apparent (e.g., through an increase in standing biomass, decrease in decomposition or fire risk, etc). See Definitions of Terms (page 7) for a description of these categories. Please report under the following categories:

- sustainable forest management for timber using reduced impact harvesting
- agroforestry
- reforestation/afforestation
- sustainable agriculture.

Unit: Hectares in each land use category and by habitat type

Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions .

For this indicator, please report only on USAID-assisted major national or sub-national policies that are not captured by site-specific activities reported on through indicators 1-2. For example, include key policy achievements related to national, state or provincial law (e.g., Bolivian Forestry Law) or significant far-reaching private sector policy reforms (e.g., National Environmental Action Plans) but not those affecting a specific site (e.g., legal demarcation of individual site or granting of community access to single location)

One point is given for each of three steps (see data collection table on page 14) completed towards the adoption of legislation or administrative action that:

- facilitates improved land use planning
- facilitates sustainable forest management
- facilitates establishment and conservation of protected areas
- improves integrated coastal management
- decreases agricultural subsidies or other perverse fiscal incentives which hinder sustainable forest management
- corrects protective trade policies which devalue forest resources
- clarifies and improves land and resource tenure.

Unit: Points

Indicator 4: Value of public and private investment leverage (in 1997 dollars) by USAID for activities that contribute to the preservation or increase of carbon stocks and reduction of greenhouse gas emissions

4a. Value of funding leveraged directly in support of USAID activities and programs. This would include: (i) funding leveraged from partners for joint USAID activities; (ii) funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated); (iii) obligated or committed funding for direct follow-on MDB loan programs (prorated); (iv) obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); (v) joint implementation investments; (vi) Development Credit Authority investments. Due to the variety of ways that dollars leveraged may be calculated, please provide a brief description of your methodology. (See data collection table on page 13.)

Unit: U.S. Dollars

4b. Value of funding generated to replicate USAID-pioneered programs

Unit: U.S. Dollars

Indicator 5: Institutional Capacity Strengthened

5a. Increased capacity to address global climate change issues. This indicator tracks the number of USAID-assisted associations, NGOs or other public and private institutions that have been strengthened to address GCC issues in the land use/forest management sector.

Unit: Number of associations, NGOs or other public or private institutions strengthened

5b. Technical capacity strengthened through workshops, research, and/or training activities. This indicator measures categories of training or technical assistance activities that strengthen or build the capacity of host countries to prepare, adopt, implement or enforce policies listed in Indicator 3, which contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions.

One point is given for training and/or technical assistance in each category.

Unit: Number of points

Definition of Terms

Land use/forest management, global climate change indicators

INDICATOR 2A:

Conservation of natural ecosystems:

"Natural areas" include any areas that have not experienced serious degradation or exploitation of biomass. Areas where non-timber forest products are harvested can be counted in this category but not those that are managed for timber. The latter are included in 2b below. The distinction is important as different approaches are employed in estimating carbon for "natural areas" (2a) and "managed areas" (2b). Natural areas include: 1) protected areas; 2) areas where non-timber forest products are extracted if significant biomass is not removed (often managed as community-based forest management areas); 3) any other areas which exclude larger-scale biomass harvest from a management regime including many areas managed by communities and/or indigenous groups.

Include only the hectares where on-the-ground impacts have been documented or comprehensive management has been implemented, e.g., areas of a protected area where deforestation has been halted. It is acceptable to count parts of an area where deforestation or degradation has been stabilized, or additional areas as they achieve management goals and demonstrate that degradation has been halted.

INDICATOR 2B:

Sustainable forest management for timber, using Reduced Impact Harvesting (RIH):

A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included, an activity must include most of the following practices:

- tree inventorying, marking and mapping
- careful planning and marking of skidder trails
- vine cutting prior to harvest, where appropriate
- directional felling of trees
- appropriate skidding techniques that employ winching and best available equipment (rubber tired skidder/animal traction) to minimize soil damage
- proper road and log deck construction
- a trained work force and implementation of proper safety practices
- fire mitigation techniques (fire breaks)
- existence of a long-term management plan.

Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been "certified" as environmentally sound by a recognized independent party. Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).

Agroforestry: The term "agroforestry" covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the deliberate growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is significant interaction between woody and non-woody components, either ecological or economical. For our purposes, to be counted, at least 15% of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak).

Include area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). Do not include agroforestry systems that are being established on forestlands that were deforested since 1990.

Reforestation/Afforestation: The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes.

Include area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). Do not include natural forested areas which have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).

Sustainable Agriculture: Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven cultural practices known to reduce carbon transport or emission. This will require consideration of soil, water and nutrient/crop management. For reporting purposes, sustainable agriculture systems are those that employ or promote at least three of the following:

- no-tillage or reduced tillage
- erosion control/soil conservation techniques, especially on hillsides
- perennial crops in the system
- higher crop yields through better nitrogen and soil management
- long-term rotations with legumes
- the use of organic mulches, crop residues and other organic inputs into the soil
- better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based agrochemicals which increase emissions.

Include area under sustainable agriculture as defined by the criteria above. Do not include agricultural systems that are being established on lands deforested since 1990.

FY 97 USAID-Sponsored Activities that Contribute to Climate Change Initiative

USAID activity name	Location			The Site and USAID's Involvement						Additional info you have (chose from the info codes below)
	Country	Region, Province, or State	Site	Principle activity(ies) (list 1 per line using the activity codes below)	Area where USAID has initiated activities (hectares) (Indicator 1)	Area where USAID has conserved carbon (hectares) (Indicator 2)				
						Predominate vegetation type (1 per line; use vegetation codes below)	Natural ecosystems (2a)	Predominate managed land type (1 per line; use managed land types below)	Managed lands (2b)	
Example: Ecodevelopment Program	Mexico	Sierra Madre Occidental	El Complicado Biosphere Reserve	1	40,000	e	1,000			1, 2
				1	40,000	f	500			
				5	200	k		4	150	

Instructions for Table for Compiling Land Use Data

For each site where USAID has initiated activities, pick 1 to 3 primary activity codes (from the list below) which best describe your program. *If more than one activity code applies to a site, please use a separate row to describe each activity.* For example, a USAID program could include a component to improve the internal management of a strictly protected area and also a sustainable agricultural component in the buffer zone, as illustrated in the example above.

To ensure our information is complete, please fill in all the boxes that apply. We understand that some of the quantitative information you provide may be estimates based on your best judgement.

Codes for USAID-Supported Activities:

- 1 Conservation of natural ecosystems (may include protected area management, extraction of non-timber products, etc. but *not* timber harvesting)
- 2 Sustainable forest management for timber using reduced-impact harvesting
(non-timber forest products may also be harvested)
- 3 Afforestation/reforestation/plantation forests
- 4 Agroforestry
- 5 Sustainable agriculture

Vegetation Codes:

Natural Ecosystems

- a Tropical evergreen forest
- b Tropical seasonal forest
- c Temperate evergreen forest
- d Temperate deciduous forest
- e Boreal forest
- f Temperate woodland
- g Tropical open forest/woodland
- h Tropical grassland and pasture
- i Temperate grassland and pasture
- j Tundra and alpine meadow
- k Desert scrub
- l Swamp and marsh
- m Coastal mangrove
- n Wetlands

Managed Land Types

- 1 Agricultural systems - (less than 15 % of the area under trees)
- 2 Agroforestry systems - (greater than 15 % of the area under trees)
- 3 Plantation forests - (at least 80% of the area under planted trees)
- 4 Protected areas

Codes for Available Additional Information:

- 1 Maps
- 2 Geo-referenced site coordinates
- 3 Biomass inventory
- 4 Rainfall data
- 5 Soil type data

Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions .

Instructions: Please report on each policy measure addressed with USAID support or as a result of USAID efforts. Check the policy steps (1, 2 and/or 3) **that have been achieved** for each policy measure and list the activity(ies) that contribute to achievement of the policy steps in the last column. Please report on other activities or policy measures not listed, if appropriate.

Unit: Number of policy steps achieved

Country: _____ Activity or Policy Measure	Scope (N or S)	Check Steps that Have Been Achieved			List Activity(ies) Contributing to Each Policy Category
		Step 1: Policy Preparation and Preparation	Step 2: Policy Adoption	Step 3: Implementation and Enforcement	
Facilitates improved land use planning					
Facilitates sustainable forest management					
Facilitates establishment and conservation of protected areas					
Improves integrated coastal management					
Decreases agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management					
Corrects protective trade policies that devalue forest resources					
Clarifies and improves land and resource tenure					
Other					
Number of points achieved per policy step					
Total policy steps					

Instructions for Data Collection Table: policy matrix

These indicators are being used to help USAID convey the climate change-related impact of policy efforts. In the land use/forestry area, this indicator focuses on policies that are intended to improve carbon stocks either directly by protecting land or improving its management, or indirectly by creating economic incentives for better land use practices and trends. Because development and implementation of a policy is a process that can take many years, the policy indicator is indexed to record progress in this continuum.

Policy Categories: Please choose the policy category below which most closely describes your policy intervention.

- facilitates improved land use planning
- facilitates sustainable forest management
- facilitates establishment and conservation of protected areas
- improves integrated coastal management
- decreases agricultural subsidies or other perverse fiscal incentives which hinder sustainable forest management
- corrects protective trade policies which devalue forest resources
- clarifies and improves land and resource tenure

Scope:

- S Subnational - policies that affect a tribal nation , province, state or region that are neither national nor site specific in impact.
- N National - policies that influence issues on a countrywide level.

Policy Steps:

1. Policy preparation and presentation: Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
2. Adoption: Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
3. Implementation and enforcement: Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Indicator 4: Dollars leveraged through agreements with USAID donor partners (forestry and land use sectors)

Instructions: In the first column, list all relevant activities or projects. In the right-hand columns, note the amount of 1997 dollars that are directly and indirectly leveraged by USAID for activities that contribute to the preservation or increase of carbon stocks and reduction of greenhouse gas emissions. (See Indicator 4 on page 6 for definitions.)

Activity Description	Source of Leveraged Funds	Direct Leverage (4a)	Indirect Leverage (4b)

Indicator 5: Institutional Capacity Strengthened

5a: Increased capacity to address global climate change issues

Unit: Number of institutions

Country: _____		Name of Associations, NGOs, or other Institutions Strengthened
Number of USAID-assisted associations, NGOs or other public and private institutions strengthened to address GCC issues		
Number of NGOs		
Number of Private Institutions		
Number of Research/Educational Institutions		
Number of Public Institutions		
Total Number of Institutions Strengthened:		

5b. Strengthening technical capacity through workshops, research, and/or training activities

This indicator measures categories in which capacity is strengthened through training/technical assistance. Please report on each category addressed with USAID support or as a result of USAID efforts. Please check whether capacity is strengthened through training, technical assistance, or both, and list the activity(ies) that contribute(s) to each of the capacity building categories. Please report on other areas not listed, if appropriate.

Country: _____ Category	Types of Support Provided		List the Activity(ies) that Contribute to Each Capacity Building Category
	Training	Technical Assistance	
Advancing improved land use planning			
Advancing sustainable forest management			
Advancing establishment and conservation of protected areas			
Advancing integrated coastal management			
Advancing decreases in agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management			
Advancing the correction of protective trade policies that devalue forest resources			
Advancing the clarification and improvement of land and resource tenure			
Other			
Number of categories where training and technical assistance has been provided:			

RESULT 3: DECREASED NET GREENHOUSE GAS EMISSIONS FROM THE ENERGY SECTOR, INDUSTRY AND URBAN AREAS

Indicator 1: Emissions of carbon dioxide (CO₂) equivalents avoided, due to USAID assistance (carbon dioxide, methane, and nitrous oxide)

Missions will report on any of the following six indicators that are appropriate for their programs, and USAID/W will make the necessary conversions from these results to obtain the metric tonnes of CO₂ equivalents avoided.

- MW-h or BTUs of renewable energy produced
- MW-h or BTUs of fossil fuel based energy saved through end use energy efficiency
- MW-h or BTUs of fossil fuel based energy saved through energy efficiency in generation, transmission, distribution (including new production capacity)
- MW-h or BTUs of energy produced as a result of switching to cleaner fossil fuels (including new production capacity)
- tonnes of methane (CH₄) captured from solid waste, sewage, and/or coal mining
- tonnes of nitrous oxide (N₂O) saved through improved agricultural management of soils and/or fertilizer use.

Unit: Metric tonnes of carbon dioxide equivalents

Indicator 2: Decreased CO₂ emitted per MW-h of energy produced (a *national*-scale indicator for use in those countries where national data is available. This data should be available in countries that have completed an emissions inventory).

Unit: Metric tonnes CO₂/MW-h

Indicator 3: Policy advances, due to USAID assistance, that contribute to the avoidance of greenhouse gas emissions

One point is given for each of three steps completed toward the adoption of legislation or administrative action that:

- facilitates improved demand side management or integrated resource planning
- facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers
- facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes
- facilitates the use of renewable energy technologies
- facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)
- facilitates the introduction of cleaner modes of transportation and efficient transportation systems
- promotes the use of cogeneration.

Unit: Points

Indicator 4: Strategies/audits that contribute to the avoidance of greenhouse gas emissions.

4.a. Number of strategies or audits completed.

Unit: One point for each strategy or audit completed

4.b. Number of strategies or audits implemented.

Unit: One point for each strategy or audit implemented

Indicator 5: Value of public and private investment leveraged (in 1997 dollars) by USAID for activities that reduce greenhouse gas emissions

5a. Value of funding leveraged directly in support of USAID activities and programs. This would include: (i) funding leveraged from partners for joint USAID activities; (ii) funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (pro-rated); (iii) obligated or committed funding for direct follow-on MDB loan programs (prorated), (iv) obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated); (v) joint implementation investments; (vi) Development Credit Authority investments. Due to the variety of ways that dollars leveraged may be calculated please provide a brief description of your methodology.

Unit: U.S. Dollars

5b. Value of funding generated to replicate USAID-pioneered programs

Unit: U.S. Dollars

Indicator 6: Institutional Capacity Strengthened

6a. Increased capacity to address global climate change issues. This indicator tracks the number of USAID-assisted associations, NGOs or other public and private institutions that have been strengthened to address GCC issues in the energy sector, industry and urban areas.

Unit: Number of associations, NGOs or other public and private institutions

6b. Strengthening technical capacity through workshops, research, and/or training activities. This indicator measures the categories of training or technical assistance activities that strengthen or build the capacity of host countries to prepare, adopt, implement or enforce policies listed in Indicator 3, which contribute to the avoidance of greenhouse gas emissions in the energy sector, industry or urban areas.

One point is given for training and/or technical assistance in each category.

Unit: Number of Points

Indicator 1: Emissions of CO₂ equivalents avoided

Instructions: For each activity contributing to this indicator, write a brief description of the activity in the first column, and write the result in whichever of the three reporting columns that corresponds to this activity. (For example, for a renewable energy activity, put the MW-h of renewable energy produced in electricity generation in column two (1a) or the BTUs of renewable energy produced in thermal combustion in column three (1a). Then put the fuel type replaced in column four (1a).) USAID/W will make the appropriate conversion into metric tonnes of CO₂ equivalents avoided.

Country: <u>India</u>	1a. CO ₂ emissions avoided through renewable energy activities renewables			1b. CO ₂ emissions avoided through end use energy efficiency improvements DSM			1c. CO ₂ emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity)		
	MW-h produced in electricity generation	BTUs produced in thermal combustion	Fuel Type replaced ¹	MW-h saved	BTUs saved in thermal combustion	Fuel Type saved ¹	MW-h saved	BTUs saved in thermal combustion	Fuel Type saved ²
Activities: Renewable energy Energy efficiencies Supply side Demand side Clean Coal technologies									
Industrial Retrofits				100		Coal			
Supply side efficiencies input @ NTPC							15517		Coal
DSM at AEC				5500		Coal			
Solar Home Systems	42		Coal						

¹ Provide fuel type replaced/saved if known. If not, USAID/W will convert MW-h based on country's 1990 fuel mix levels.

² Provide site-specific fuel type information if known. If not, USAID/W will convert MW-h based on country's 1990 fuel mix levels.

Indicator 1: Emissions of CO₂ equivalents avoided (continued)

Instructions: For each activity contributing to this indicator, write a brief description of the activity in the first column, and write the result in whichever of the three reporting columns that corresponds to this activity. (For example, for a fuel switching activity, put the MW-h of renewable energy produced in column two (1a) or the BTUs of renewable energy produced in thermal combustion in column three (1a). Then put the fuel type replaced in column four (1a). If the activity captured methane from a landfill, put the tonnes of methane captured in column six (1e).) USAID/W will make the appropriate conversion into metric tonnes of CO₂ equivalents avoided.

Country: _____ Activities:	1d. CO ₂ emissions avoided as a result of switching to cleaner fossil fuels (including new production capacity)				1e. Tonnes of methane captured from solid waste, coal mining, sewage	1f. Tonnes of nitrous oxide emissions avoided through improved agriculture
	MW-h produced in electricity generation	BTUs produced in thermal combustion	Old Fuel Type	New Fuel Type		
District heating		300,000	coal	natural gas		

¹ Provide fuel type replaced/saved if known. If not, USAID/W will convert MW-h based on country's 1990 fuel mix levels.

² Provide site-specific fuel type information if known. If not, USAID/W will convert MW-h based on country's 1990 fuel mix levels.

Indicator 2: Decreased CO₂ emitted per MW-h of energy produced

Instructions: If these data are available for your country, please enter the total amount of energy produced by the country (MW-h) and the corresponding amount of carbon dioxide emitted (metric tonnes).

Country: India

MW-h of energy produced: _____

Corresponding metric tonnes of CO₂ emitted: _____

Note: The level of emissions data is not available since India has not completed the national GHG inventory.

Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions .

Instructions: Please report on each policy measure addressed with USAID support or as a result of USAID efforts. Check the policy steps (1, 2 and/or 3) **that have been achieved** for each policy measure and list the activity(ies) that contribute to achievement of the policy steps in the last column. Please report on other activities or policy measures not listed, if appropriate.

Unit: Number of policy steps achieved

Country: <u>India</u> Activity or Policy Measure	Scope (N or S)	Check Steps that Have Been Achieved			List Activity(ies) Contributing to Each Policy Category
		Step 1: Policy Preparation and Presentation	Step 2: Policy Adoption	Step 3: Implementation and Enforcement	
Facilitates improved demand side management or integrated resource planning	S	✓			Energy Conservation Act, design of Appliance Labelling and Efficiency Standards ongoing. DSM pilot project implemented at a private utility. Design of DSM projects ongoing at two other utilities.
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers		✓	✓		Central Electricity Regulatory Commission established. Regulatory Commissions at two state levels also established. Tariff setting powers to be transferred to these Commissions from April 1, 1999.
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes	S	✓	✓	✓	National Thermal Power Corporation adopts policy to expand thermal power plant efficiency system-wide. Targets for increasing improvements established and implementation ongoing.
Facilitates the use of renewable energy technologies	N	✓	✓	✓	Detailed policy guidelines issued by Ministry of Non-conventional Energy Sources (MNES) and adopted by most States. Total grid connected renewable energy power stands at 1.4% of the total installed capacity as on March 31, 1998.
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)	N	✓	✓		Government Notification mandating use of beneficiated coal for power plant by 2001.
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems	S	✓	✓	✓	Use of unleaded gasoline for vehicles since October 1998.
Promotes the use of cogeneration	N	✓	✓	✓	Preferrable tariffs for purchase of biomass/bagasse based cogeneration adopted by most states. 84 MW of cogenerated power exported to grid as of March 31, 1998.
Number of points achieved per policy step					
Total policy steps					

Instructions for Data Collection Table: policy matrix :

These indicators are being used to help convey the climate change-related impact of USAID's work to promote policy reform. In the areas of energy, industry and urban development, the indicator focuses on policies that lead to increased energy efficiency and the use of renewable energy and cleaner fuel technologies. Policies listed should affect at least the community or municipal level, but policies that are national in scope should also be included. To reflect the fact that the development and implementation of a policy can take many years, the policy indicator is indexed to record incremental progress .

Policy Categories: Please choose among the policy categories below the one that most closely describes your policy interventions.

- facilitates improved demand side management or integrated resource planning
- facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers
- facilitates the installation of energy efficient or other greenhouse gas reducing technologies
- facilitates the use of renewable energy technologies
- facilitates the use of cleaner fossil fuels (cleaner coal technologies or natural gas)
- facilitates the introduction of cleaner modes of transportation and efficient transportation systems
- promotes the use of cogeneration.

Scope:

- S Subnational - policies that affect a municipality, province, state, or region
N National - policies that influence issues on a countrywide level.

Policy Steps:

1. Policy preparation and presentation: Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in the appropriate legislative, regulatory, or governmental body.
2. Adoption: Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of voting on a law, the issuance of a decree, etc.
3. Implementation and enforcement: Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Indicator 4: Strategies/audits that contribute to the avoidance of greenhouse gas emissions

Instructions: In the first column describe the activity (e.g. "industrial pollution prevention and energy efficiency auditing in metal finishing"). In the second column, give the number of industrial firms/municipalities that have undertaken audits or developed greenhouse gas reduction strategies. In the third column provide the number of industrial firms or municipalities that have implemented the strategies or audit results.

Units: Number of strategies/audits

Country: <u>India</u>	Number of audits or strategies completed	Number implemented
Activity: Demand Side Management & Supply Side efficiency improvement at power utilities.		
Ahmedabad Electric Company Demand Side Management (Note 1)		
High rise building water pumping efficiency improvement	75	10
Industries reactive power management	760	460
Advanced metering	2000	1500
Energy Conservation at Municipal Corporation	3 (strategies)	1
Center for Power Efficiency and Environmental Protection	1	1 (note 2)
Total		

(Detailed supply side efficiency improvement testing, simulation & strategy development at 1 unit of utility)

Note:

1. USAID TA/TRAINING support has come to an end, AEC will complete implementation on its own through ESCOS and other private sector partners.
2. Recommendation ensuing from study of one unit in one power plant was implemented in all four coal-fuel unit in the plant.

Indicator 5: Dollars leveraged through agreements with USAID donor partners (energy, industry and urban sectors)

Instructions: In the first column, list the activities or projects taking place. In the right-hand columns, note the amount of 1997 dollars that are directly and indirectly leveraged by USAID. (See Indicator 6 on page 15 for definitions).

Units: 1997 dollars

Country: <u>India</u>		Direct Leverage (5a)	Indirect Leverage (5b)
Activity Description	Source of Leveraged Funds		
WB Loan to Haryana State for Restructuring	World Bank	\$ 600 M	
WB Loan to Haryana State for DSM	World Bank	\$ 60 M	
NTPC system wide investments – FY 97 – to replicate USAIDTA	NTPC		\$ 2.5 M
Pvt. Sugar Mills/Financial institutional loan for setting bagasse cogeneration units	Private Sugar Mills	\$ 64.7*	
Total		\$ 724.7 M	\$ 2.5 M

***Note:** Up to March ' 98 at the rate of Rs.31.5 to a Dollar.

Indicator 6: Institutional Capacity Strengthened

6a: Increased capacity to address global climate change issues

Unit: Number of institutions

Country: _____		Name of Associations, NGOs, or other Institutions Strengthened
Number of USAID-assisted associations, NGOs or other public and private institutions strengthened to address GCC issues		
Number of NGOs		
Number of Private Institutions		
Number of Research/Educational Institutions		
Number of Public Institutions		
Total Number of Institutions Strengthened:		

6b. Strengthening technical capacity through workshops, research, and/or training activities

This indicator measures categories in which capacity is strengthened through training/technical assistance. Please report on each category addressed with USAID support or as a result of USAID efforts. Please check whether capacity is strengthened through training, technical assistance, or both, and list the activity(ies) that contribute(s) to each of the capacity building categories. Please report on other areas not listed, if appropriate.

Country: <u>India</u>	Types of Support Provided		List the Activity(ies) that Contribute to Each Capacity Building Category
	Training	Technical Assistance	
Improved demand side management or integrated resource planning	✓	✓	Training and technical assistance helped develop DSM capacity at AEC, Surat Electric Co. and IRP at Andhra Pradesh State Electricity Board.
Competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers		✓	Technical assistance to Ministry of Power for drafting the Regulatory Reform Act and also for establishing the Reform Cell and Central Electricity Regulatory Commission. Also, technical assistance is being provided to the Haryana State for establishing a state regulatory commission. TA also provided to MOP to develop model bid documents and power purchase agreements for private power development in the country.
Installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes	✓	✓	Training and technical assistance provided to National Thermal Power Corporation to establish the Center for Power Efficiency and Environmental Protection.
Use of renewable energy technologies	✓	✓	Training provided to entrepreneurs and technicians to start and operate solar home systems business. TA also provided to develop business plans, feasibility reports, power purchase agreements for micro-hydro power, etc.
Use of cleaner fossil fuels (cleaner coal or natural gas)		✓	TA provided to prepare profitability analysis of coal beneficiation for Indian power plants, technical assistance was also provided to review coal washery design of the first private sector coal washery for power plant in the country.
Introduction of cleaner modes of transportation and efficient transportation systems		✓	TA provided for designing more efficient pedi-cabs for Agra.
Use of cogeneration		✓	TA been provided to the Indian sugar industry to develop detailed project reports and conduct applied research for use of alternative biomass fuels for sugar cogeneration plants during the cane off-season.
Other			
Total number of points for Training/technical assistance			

RESULT 4: REDUCED VULNERABILITY TO THE THREATS POSED BY CLIMATE CHANGE

The preliminary indicators to monitor USAID programs that reduce vulnerability to the threats posed by climate change do not measure performance. Rather, they are created to identify Agency programs that are reducing vulnerability to climate change (even if they were not conceived of as climate change programs) in several key areas: coastal zone management; disaster preparedness; agriculture and food security; and biodiversity and forestry. [DATA TO REPORT ON THESE INDICATORS WILL BE COLLECTED BY USAID/W IN THE FY 1998 REPORTING CYCLE. THEY ARE INCLUDED HERE FOR YOUR REVIEW.]

We recognize that there will be some overlap. That is, some activities will fall into more than one category. Please include each activity in only one place and include a reference to other relevant categories in your brief description.

Key Area

- (i) **Coastal Zones** - Number of programs that are reducing the vulnerability of coastal populations, infrastructure, habitats and living resources to accelerated sea level rise or other environmental changes associated with climate change (e.g., water availability, resource availability, temperature)
- (ii) **Emergency Preparedness** - Number of programs that are increasing ability to cope with and minimize the damage from natural disasters (e.g., drought, famine, disease outbreaks) through surveillance, early warning, emergency preparedness, capacity building, etc.
- (iii) **Agriculture and Food Security** - Number of programs that are increasing adaptability and resilience of agriculture and food systems to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., crop diversification, water conservation and delivery, flexible market and trade systems).
- (iv) **Biodiversity/Natural Resources** - Number of programs that are increasing the adaptability of natural ecosystems and levels of biodiversity to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., establishment of biological corridors, habitat conservation, preservation of ex situ germplasm).
- (v) **Human Health and Nutrition** - Number of programs that are reducing vulnerability to climate change through improved access to and quality of health services, vector control, nutrition and environmental health interventions.

Indicator: USAID Programs that Reduce Vulnerability to Climate Change

Key Area (i, ii, iii, iv, v)	Country	Strategic Objective (Name and Number)	Budget	Duration	Type of Prgm (see list below)	Description

Codes for Tracking and Recording Programs

<u>Key Areas</u> i. Coastal Zone	<u>Program Types</u> 1. Urban/Infrastructure 2. Natural Resource
ii. Disaster Preparation Relief	1. Early Warning System 2. Humanitarian Response 3. Capacity Building
iii. Agriculture & Food Security	1. Research and Development 2. Policy Reform 3. Extension/Demonstration
iv. Biodiversity & Forestry	1. Preservation of Biodiversity 2. Forest Conservation
v. Human Health and Nutrition	1. Improved Quality of Health Services 2. Vector Control 3. Improved Nutrition